



HEALTH AFFAIRS



# HIPAA Compliance Tool: HIPAA BASICS™

HIPAA Training: Summer Sessions

TMA Privacy Office

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It is intended solely for the use and information of the Military Health System.*

# Agenda

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- Compliance Assessment
- Introduction to HIPAA BASICS™
- User Roles and Responsibilities
- Subscription Account Setup
- Lead User Functions
- Compliance Assessment Outputs and Implementation
- Subscription Maintenance
- Password Requirements

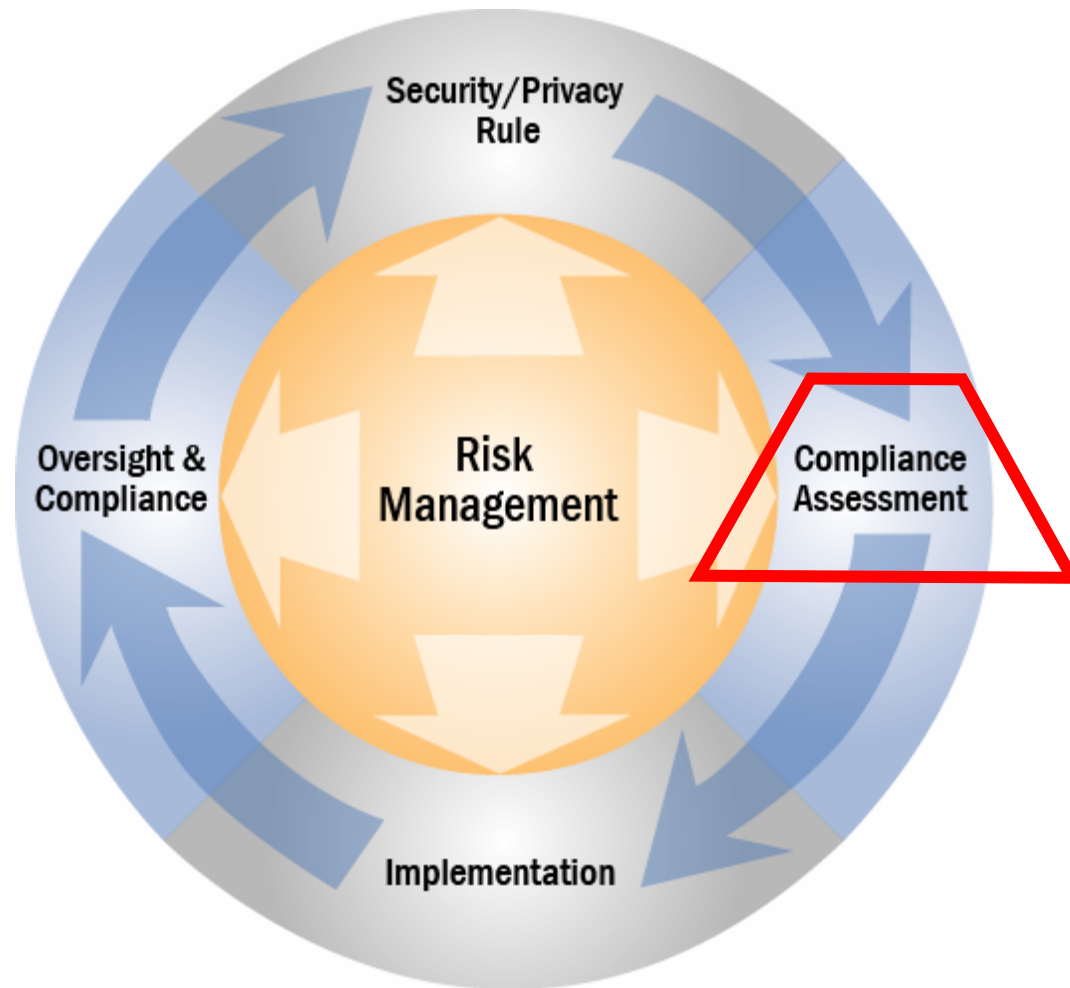
# Training Objectives

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- Upon completion of this training, you will be able to:
  - Identify the use of HIPAA BASICS™ in achieving HIPAA Compliance (Privacy/Security)
  - Describe the user roles and responsibilities within HIPAA BASICS™
  - Perform the functions of the Subscriber Administrator in HIPAA BASICS™
  - Perform the functions of the Lead User in HIPAA BASICS™
  - Describe the password requirements in HIPAA BASICS™

# HIPAA Implementation Life Cycle

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# Introduction

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- Target Audience: Individuals assigned responsibility for using HIPAA BASICS™ for tracking HIPAA Compliance
- Length of Training:
  - Lecture/Demo: 2 hours
  - Hands on: 2 hours

# **Compliance Assessment**

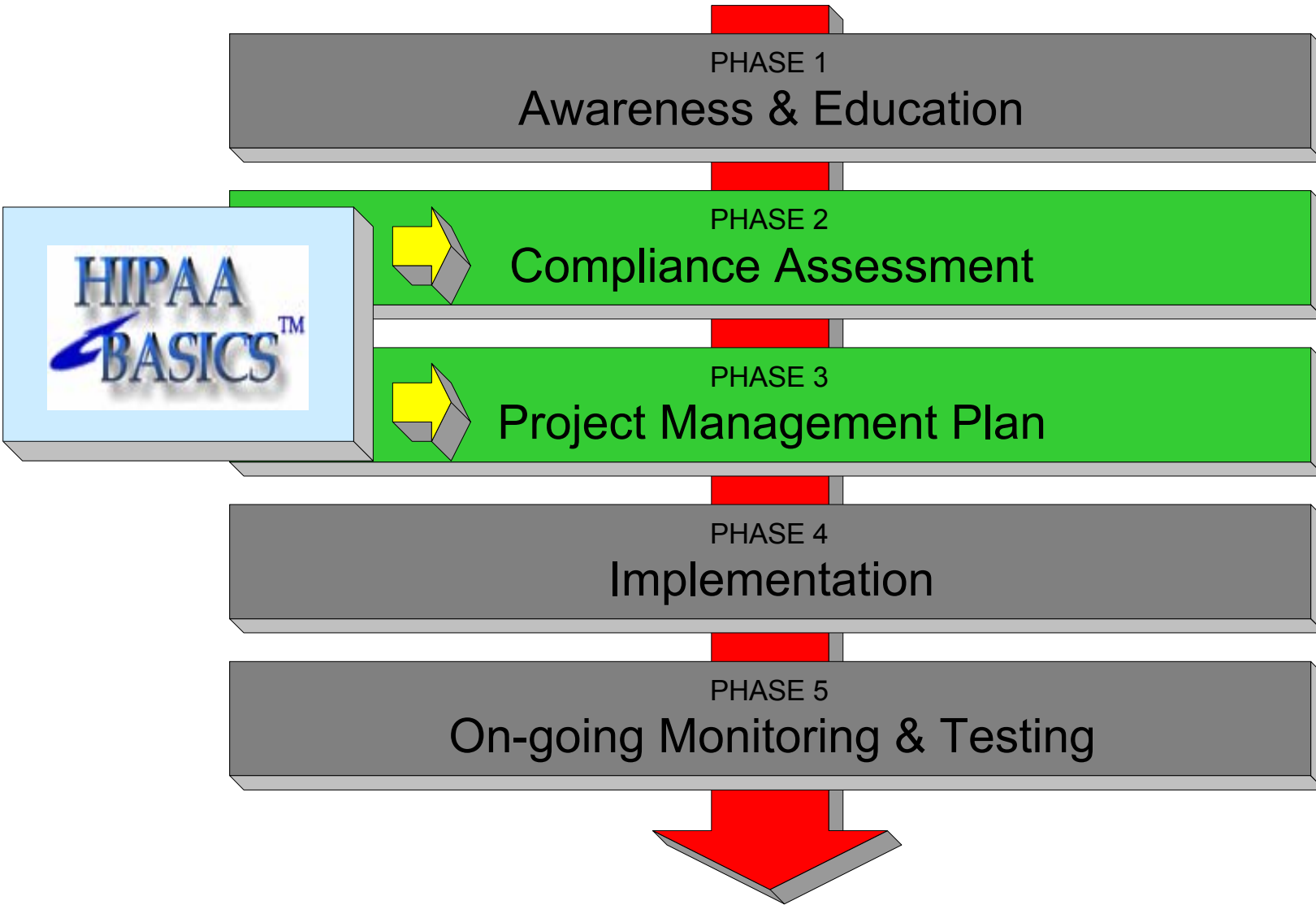
# Compliance Assessment Objectives

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- Upon completion of this lesson, you will be able to:
  - Describe how HIPAA BASICS™ fits into HIPAA Compliance
  - Describe what a compliance assessment is and how it fits into HIPAA BASICS™
  - Identify the steps that are taken to perform a compliance assessment using HIPAA BASICS™

## Compliance Assessment

# 5 Phase Approach to HIPAA Compliance





# What is a Compliance Assessment?

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- A compliance assessment of (Privacy/Security) is made up of all the requirements pertinent to a specific area within a Military Treatment Facility (MTF)
- A compliance assessment is set up using HIPAA BASICS™
- The outcome of a compliance assessment is dependent on how many of those requirements are met by the MTF and how many are not
- Areas where the requirements are not met are termed Gaps

COMPLIANCE ASSESSMENT = GAP ANALYSIS

# 4 Steps to Performing a Compliance Assessment

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1. Define the area that you would like to assess, i.e. Medical Records Department
  - (note: requirements can be sorted by HIPAA Rule, Functional area, or Category)
2. Assign and answer requirements
3. Generate an assessment report and create baseline
4. Mitigate the compliance gaps that exist

# A Few More Details About Compliance Assessments

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- Each compliance assessment is unique
  - Only users assigned to work on that assessment can view the information it contains
  - Assessments cannot be viewed across MTFs
- The tool does not share information between assessments
- Users may be assigned to work on multiple compliance assessments

# Compliance Assessment Summary

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- You should now be able to:
  - Describe how HIPAA BASICS™ fits into HIPAA Compliance
  - Describe what a compliance assessment is and how it fits into HIPAA BASICS™
  - Identify the steps that are taken to perform a compliance assessment using HIPAA BASICS™

# **Introduction to HIPAA BASICS™**

# Objectives

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- Upon completion of this lesson, you will be able to:
  - Describe the purpose of HIPAA BASICS™
  - Identify the database structure of HIPAA BASICS™
  - Locate navigation features within HIPAA BASICS™

# What is HIPAA BASICS™

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- HIPAA BASICS™ is:
  - A web-based application
  - Used to collect, store, process data, and generate reports on HIPAA requirements
  - Assists you in identifying where compliance gaps exist and provides suggested compliance activities relating to HIPAA Administrative Simplification

## 3 Components of HIPAA BASICS™

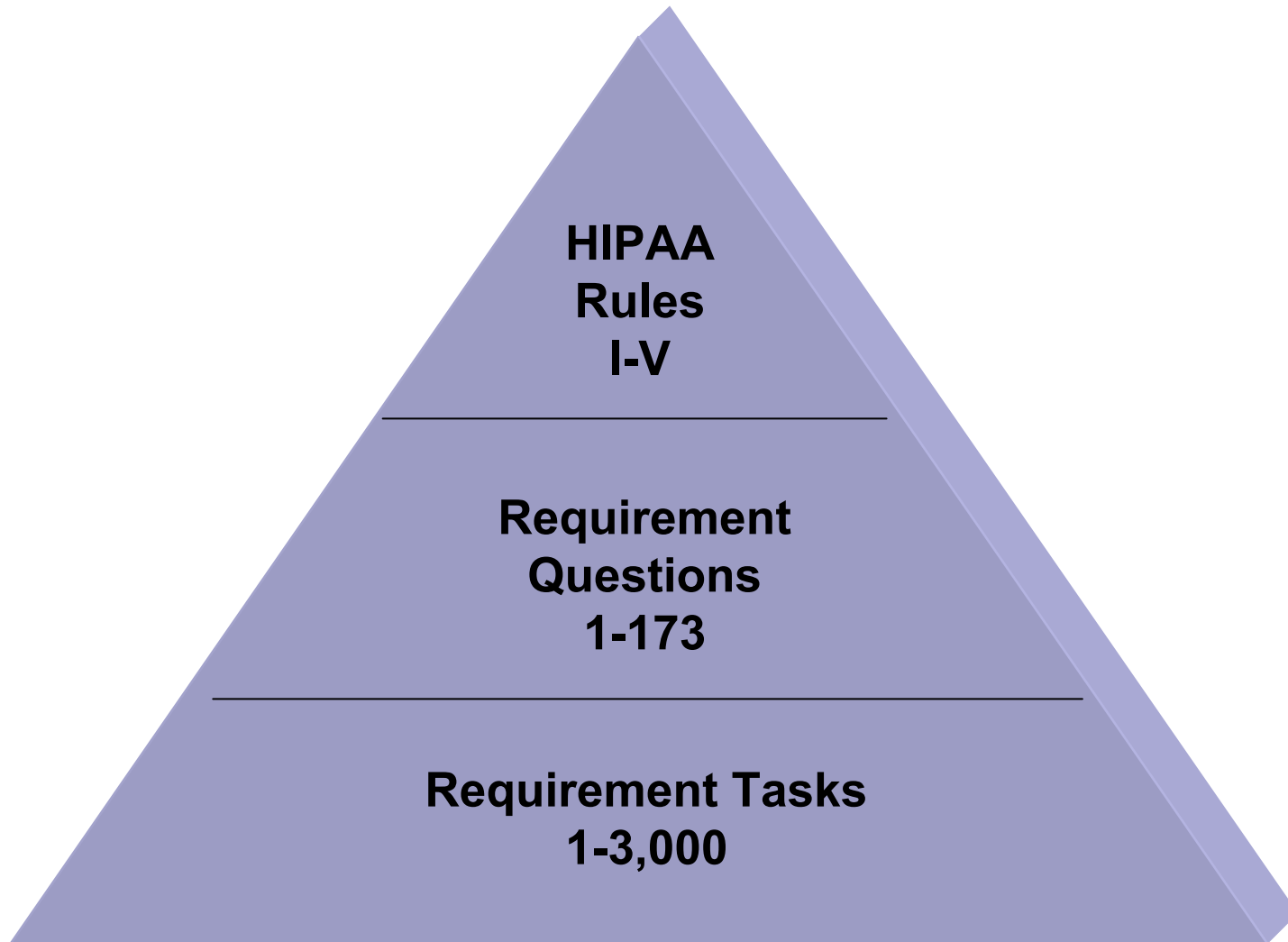
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- A **Database** containing continually updated information on HIPAA rules, broken down into discrete tasks that must be accomplished in order to achieve HIPAA Compliance
- An **Interface** between your MTF policies and practices and specific HIPAA requirements – enabling the user to clearly see where HIPAA standards are met and where compliance gaps exist
- A **Management Tool** to assign tasks, manage personnel, and monitor progress using customizable reports on compliance status



# HIPAA BASICS™ Database Structure (1 of 2)

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# HIPAA BASICS™ Database Structure (2 of 2)

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- **HIPAA Rule:** reference Privacy and Security Rule
- **Requirement Question:** refers to the HIPAA Privacy/Security standard or implementation specification
- **Requirement Task** (test item): a series of criteria designed to act as a checklist to determine compliance for a specific Requirement Question
  - An actionable step within a Project Plan required to obtain compliance

# HIPAA BASICS™ Data Organization

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- Requirement questions can be sorted one of several ways:
  - **HIPAA Rule**
    - Privacy, Security, Transactions and Code Sets, and Identifiers
  - **Project Category**
    - Related to compliance categories that cut across rules, such as Training or Records Maintenance
  - **Functional Area**
    - Organizational departments or areas such as, Human Resources or Medical Records
  - **Team Member Assignment**
    - Groups tasks by the user responsible for completing them

# Communication and Resources

## Navigation

- Proper logoff or you will get locked out for 20 minutes
- Use navigation buttons within HIPAA BASICS™
  - Log Off
  - Back
  - Menu

**HIPAA BASICS™**

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 4)  
Lead User : Megan McCarron  
Target Completion :

**Log Off** **Menu** **Back**

**Requirements and Gap Answers** **Help**

☒ HIPAA Rule ☐ Functional Area ☐ Category

Security Standards

Assigned to All Users

#	Requirement Question
107	<a href="#">A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.</a>
108	<a href="#">A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).</a>
109	<a href="#">A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).</a>
110	<a href="#">A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).</a>
111	<a href="#">Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking</a>

# How to Get Help with HIPAA BASICS™

- [Help](#) link - helpful information regarding the screen that you are on
- [Contact Us](#) link - allows you to send an email to the HIPAA Support Center
- [Info](#) link – provides information on updates, contains user manual

Subscriber : Training

Log Off Back Gap Analysis Project List Info Contact Us Help

Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			

Megan McCarron

# Summary

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- You should now be able to:
  - Describe the purpose of HIPAA BASICS™
  - Identify the database structure of HIPAA BASICS™
  - Locate navigation features within HIPAA BASICS™

# **Requirement Question Structure**

# Requirement Question Structure

## Objectives

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- Upon completion of this lesson, you will be able to:
  - Identify the purpose of requirement questions
  - Describe the process of answering requirement questions and related tasks
  - Identify the options for answers of requirement tasks



# Purpose of Requirement Questions

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- Purpose of requirement questions in HIPAA BASICS™
  - How the requirement questions are answered allows users to track their level of compliance with HIPAA Privacy/Security
  - Unanswered questions are translated into a project plan that can be used to manage the compliance progress

## Requirement Question Structure

# Tracking Compliance

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- Requirement questions track compliance with HIPAA Privacy/Security, as they:
  - Simplify each requirement into a set of tasks
  - Ask users whether and to what degree their current policies and procedures satisfy each requirement or task
  - Give validity to users' response for each high-level requirement
  - Use a methodology that parallels other information technology security assessments
    - NIST 800-26 and the Federal Information Security Management Act (FISMA)
    - OCTAVE

# Managing Compliance

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- Requirement questions manage the compliance process for HIPAA Privacy/Security through their ability to:
  - Identify which applicable tasks have not been answered, or have been partially answered
  - Identify actionable steps that can be fed into a project plan
  - Give users a more focused understanding of which specific issues need to be addressed in order to comply with HIPAA Privacy/Security

# Answering Requirement Questions

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- Answering requirement questions is a process which can be streamlined by:
  - Using the knowledge of “experts” at each MTF
  - Knowing where to find useful information
- These strategies should be tailored to fit the needs of individual MTFs

# Who Answers Requirement Questions

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- Use the requirement subject matter to divide the questions into groups (e.g. Administrative, Physical, Technical)
- Identify subject matter experts (SME) appropriate to each group of questions
- Delegate responsibility for tasks
  - Gather information on policy and procedures
  - Answer the requirement questions within the tool

# Relevant Documentation

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- Examples of documentation that support your answers include:
  - Business case
  - Mission needs statement
  - User manuals
  - Operating procedures
  - DoD, Service, or facility privacy/security policies and/or standard operating procedures

## Requirement Question Structure

# Options for Answers

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- For all requirement tasks, one of the following answers must be selected:
  - **Complete**: the task is addressed and documentation of policies and procedures is provided in the free text field
  - **Not Complete**: the task had not been fully addressed
  - **Not Answered**: the question is unanswered
  - **Does Not Apply**: the task does not apply to the facility

# Requirement Question Structure

## Summary

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- You should now be able to:
  - Identify the purpose of requirement questions
  - Describe the process of answering requirement questions and related tasks
  - Identify the options for answers of requirement tasks



# **User Roles and Responsibilities**

## Roles and Responsibilities

# Objectives

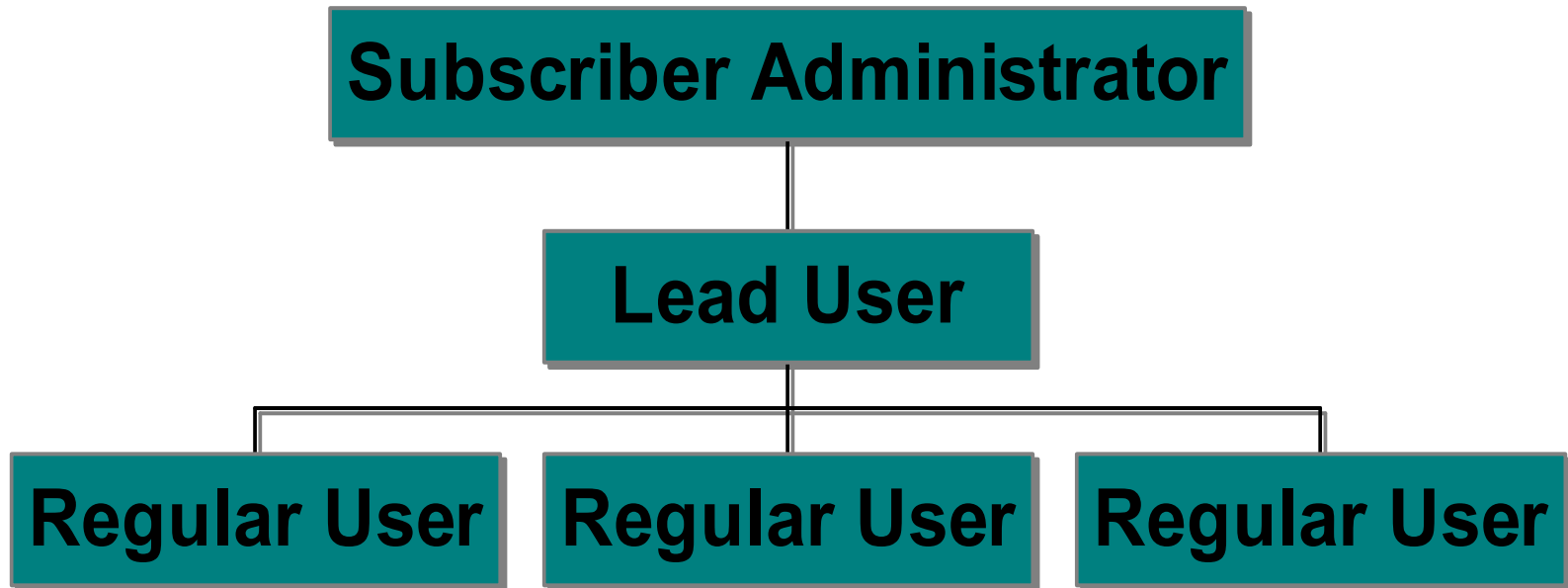
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- Upon completion of this lesson, you will be able to:
  - Describe the structure of subscriptions within HIPAA BASICS™
  - Identify users roles and responsibilities associated with:
    - Subscriber Administrator
    - Lead User
    - Regular User

# Subscription Structure

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## Subscription



## Roles and Responsibilities

# User Roles within HIPAA BASICS™

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- The **Subscriber Administrator** should be someone with an appropriate level of security clearance or access, preferably someone with a high level of comfort with technology, such as an IT professional
- **Lead Users** are generally high level managers, such as the Compliance Officer or Privacy/Security Officer
- **Regular Users** are the SMEs in areas such as Medical Records

# User Roles and Responsibilities

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- **Subscriber Administrator** – manages an organization's account, including their profile
- **Lead User** – creates assessments, assigns requirements to users, generates outputs, locks data, and adds/removes users from an assessment
- **Regular User** – views requirements, can only answer their assigned requirements, cannot generate outputs

# Subscriber Administrator Functions

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- Manage the tool administratively
- Create and edit user accounts within subscription
- View and edit all Gap Analysis across the subscription
- Add Gap Analysis for Lead Users within subscription
- Reassign Lead Users to Gap Analysis within subscription

## Roles and Responsibilities

# Lead User Functions

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- Manage compliance assessments
- Add members to a compliance assessment team
- Remove members from a compliance assessment team
- Assign requirements to team members
- Run reports and generate project plans
- Edit information related to their compliance assessments
- Download Policy and Form templates

# Regular User Functions

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- Address specific requirements to determine compliance
- View the work of other team members, however...
  - Can only answer requirement questions to which they are assigned by the Lead User



# User Roles and Responsibilities Summary

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- You should now be able to:
  - Understand the structure of subscriptions within HIPAA BASICS™
  - Identify users roles and responsibilities associated with:
    - Subscriber Administrator
    - Lead User
    - Regular User

# **Subscription Account Setup**

# Subscription Account Setup

## Objectives

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- Upon completion of this lesson, you will be able to:
  - Describe the process for obtaining a Subscriber Administrator account
  - Log in as a Subscriber Administrator
  - Create user accounts within your subscription

## Subscription Account Setup

# Obtaining an Account

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- Subscriber Administrator accounts are created by the HIPAA Support Center
  - An approved request for a Subscription to be created must be routed to the HIPAA Support Center by the Service Representative, via the appropriate chain of command
  - Service Representatives must email the approved request to: [hipaasupport@tma.osd.mil](mailto:hipaasupport@tma.osd.mil)
- The Support Center will email the appropriate Subscriber Administrator login information to the designated individual

# Subscriber Administrator Login (1 of 4)

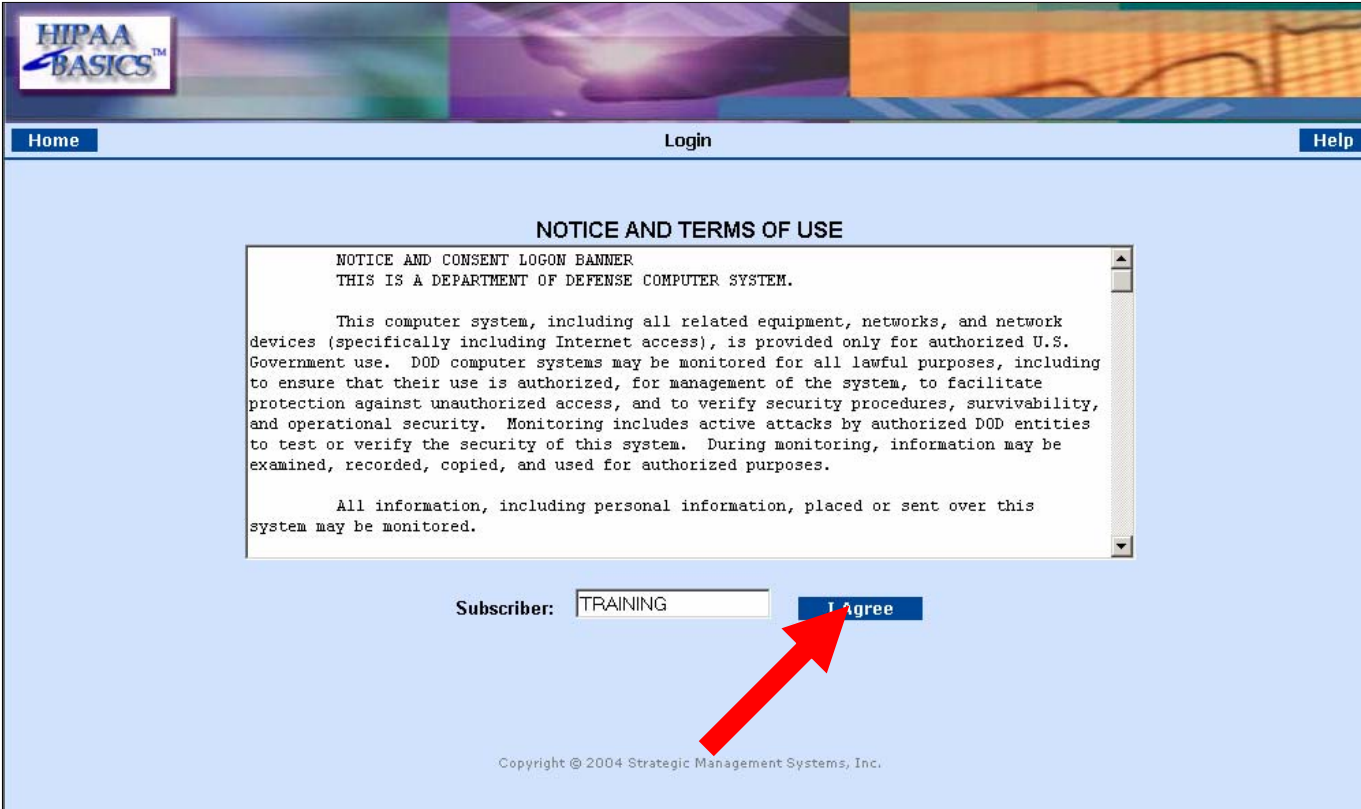
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- There are three pieces of information that must be known in order to login:
  - Subscription
  - User ID
  - Password
- Upon login for the first time you will be prompted to change your password

## Subscription Account Setup

# Subscriber Administrator Login (2 of 4)

1. Enter the Subscriber
2. Click on **I Agree**

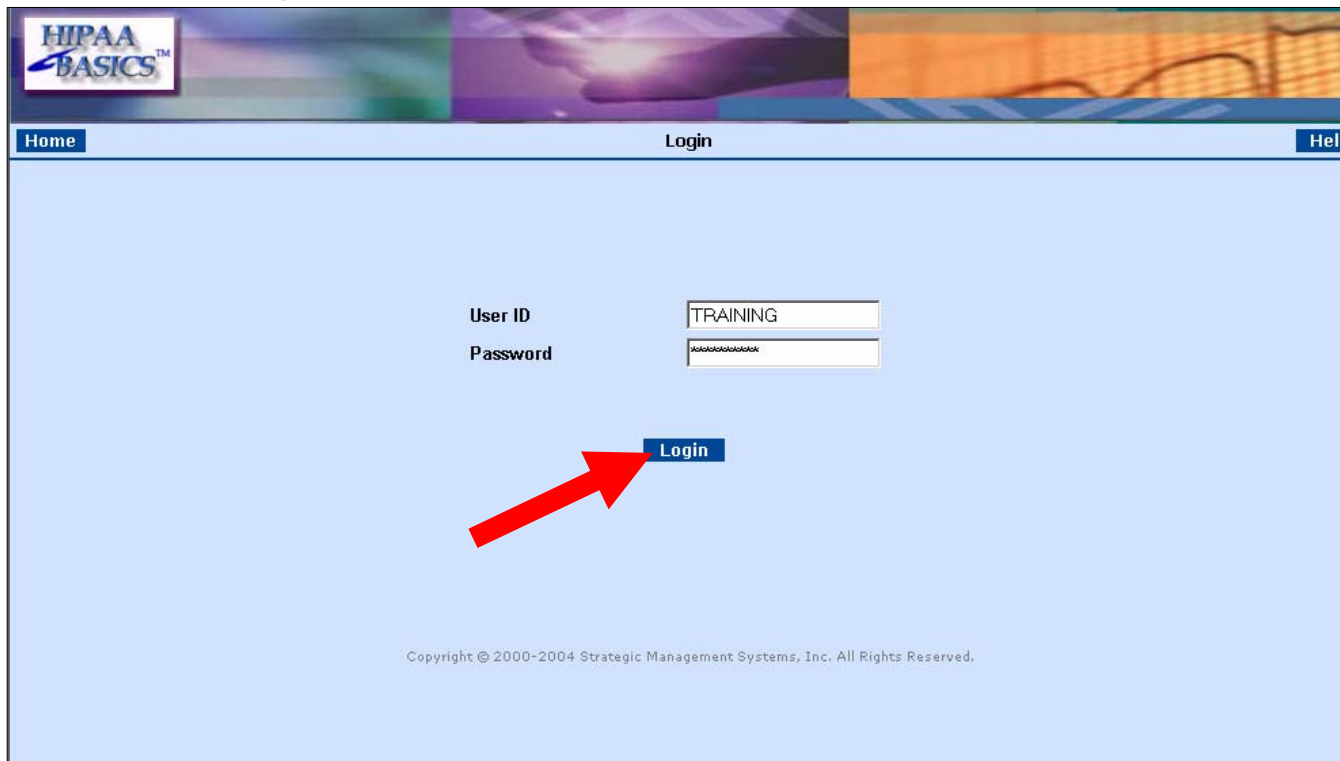


The screenshot shows a web application interface for 'HIPAA BASICS'. At the top, there is a header bar with a logo on the left and navigation links 'Home', 'Login', and 'Help' on the right. The main content area is light blue and contains a white box titled 'NOTICE AND TERMS OF USE'. Inside this box, the text reads: 'NOTICE AND CONSENT LOGON BANNER', 'THIS IS A DEPARTMENT OF DEFENSE COMPUTER SYSTEM.', and a paragraph about the computer system's use and monitoring. Below the notice box, there is a 'Subscriber:' label followed by a text input field containing the word 'TRAINING'. To the right of the input field is a blue button labeled 'I Agree'. A large red arrow points from the bottom center towards the 'I Agree' button. At the very bottom of the page, there is a small copyright notice: 'Copyright © 2004 Strategic Management Systems, Inc.'

## Subscription Account Setup

# Subscriber Administrator Login (3 of 4)

3. Enter your User ID
4. Enter your password
5. Click on **Login**



**HIPAA BASICS™**

[Home](#) [Login](#) [Help](#)

User ID

Password

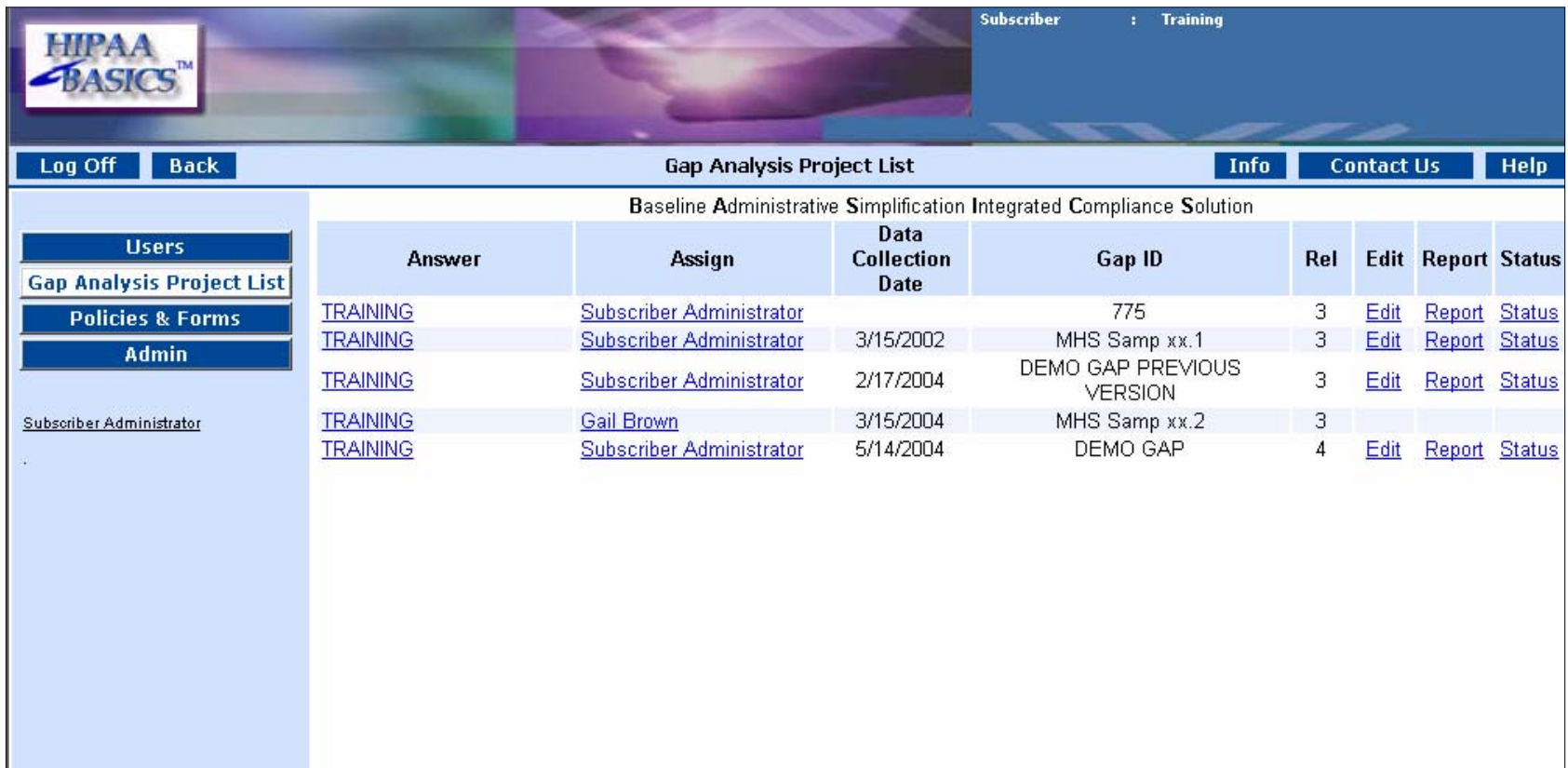
**Login**

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## Subscription Account Setup

# Subscriber Administrator Login (4 of 4)

- Default screen for Subscriber Administrators



**HIPAA BASICS™**

Subscriber : Training

Log Off Back Gap Analysis Project List Info Contact Us Help

Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>		775	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	3/15/2002	MHS Samp xx.1	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Gail Brown</a>	3/15/2004	MHS Samp xx.2	3			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

Users  
Gap Analysis Project List  
Policies & Forms  
Admin

[Subscriber Administrator](#)



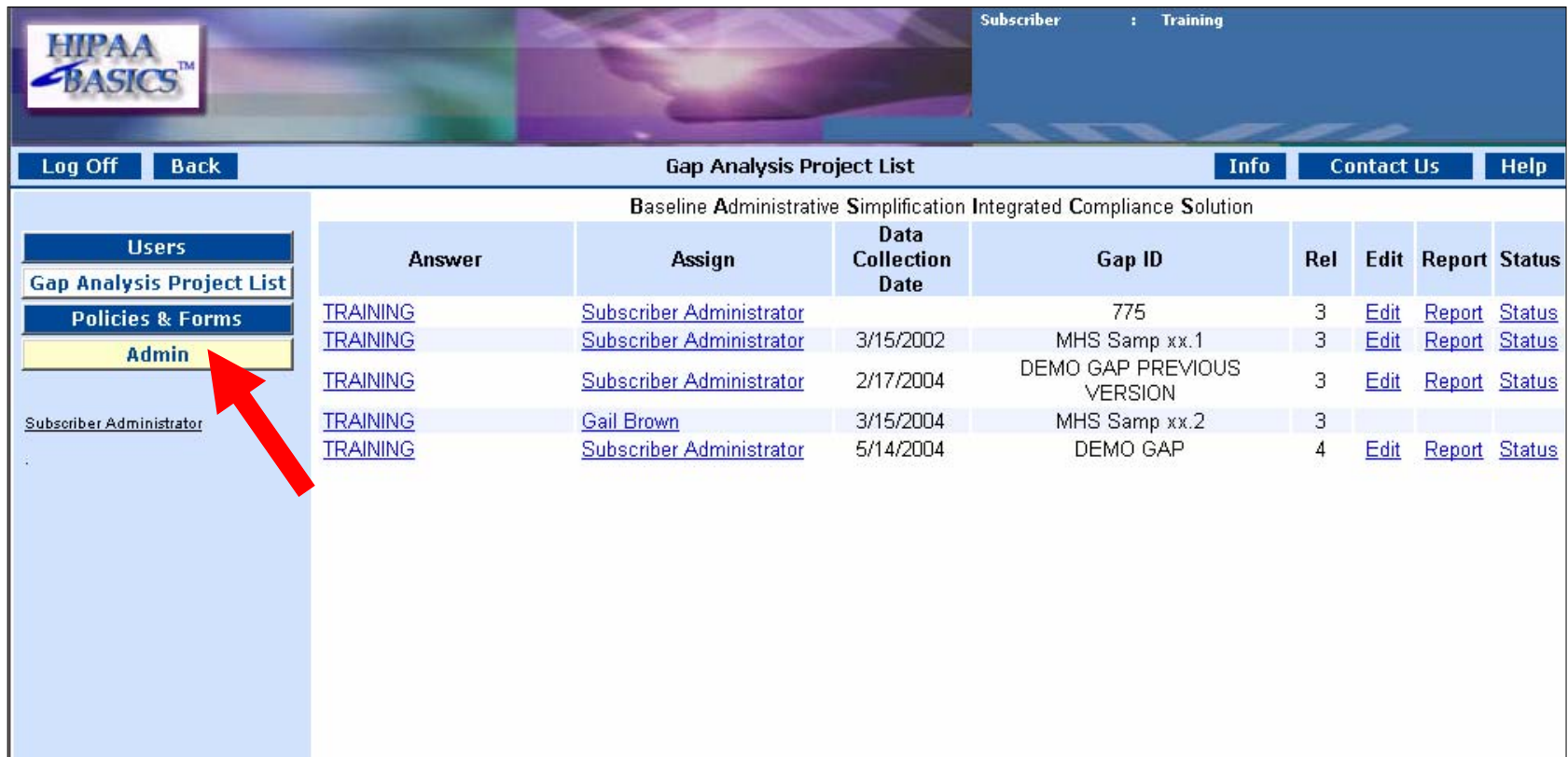
# Create User Accounts within Subscription (1 of 4)

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- The Subscriber Administrator is responsible for creating all user accounts within their subscription
- User accounts must be established within a subscription before a user can be added to an assessment team
- A user may have more than one role within a given subscription

# Create User Accounts within Subscription (2 of 4)

1. Click on the [Admin](#) button

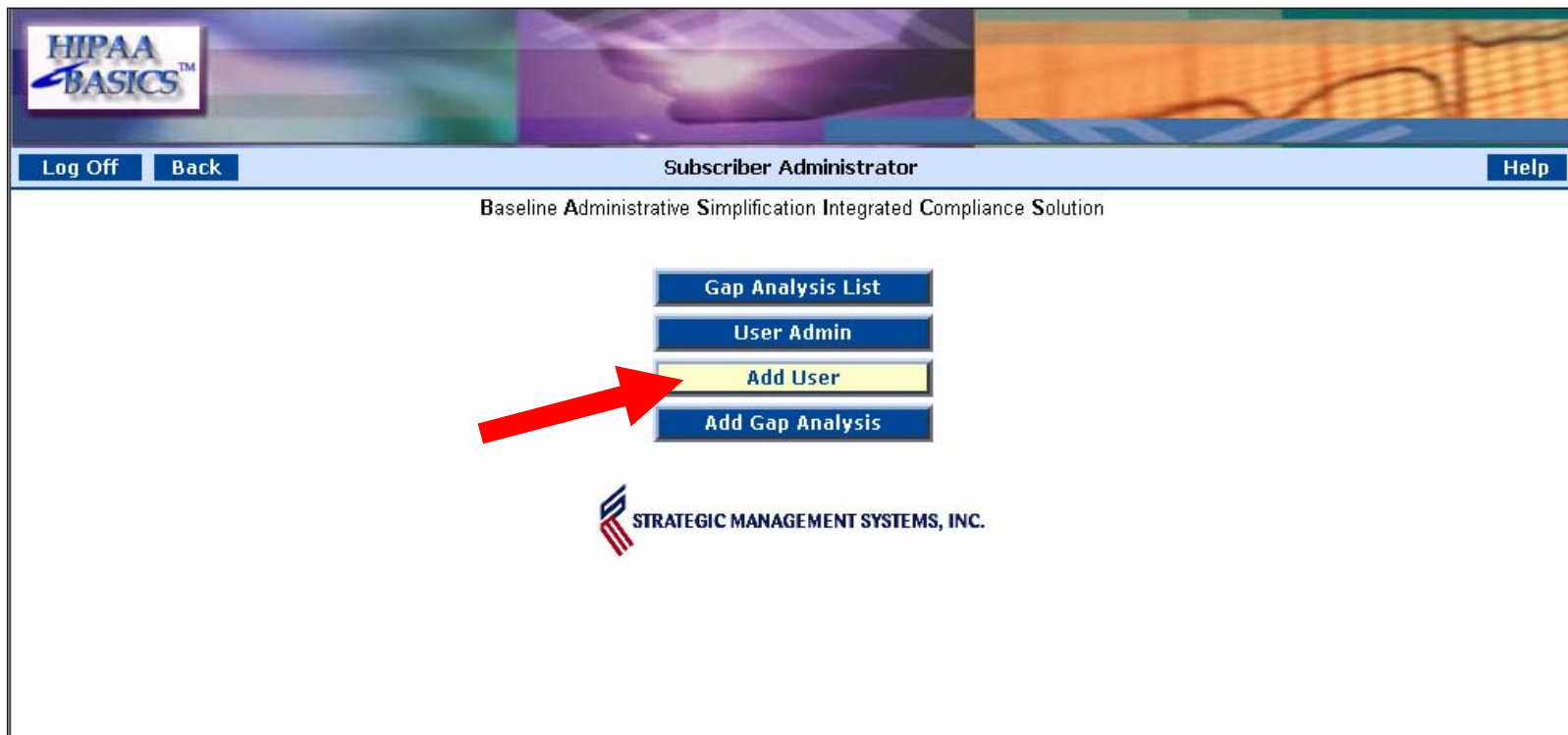


The screenshot displays the HIPAA BASICS web application interface. The top header includes the HIPAA BASICS logo and a 'Subscriber : Training' indicator. Below the header is a navigation bar with 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help' buttons. The left sidebar contains a menu with 'Users', 'Gap Analysis Project List', 'Policies & Forms', and 'Admin' (highlighted with a red arrow). Below the sidebar, the 'Subscriber Administrator' link is visible. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution' and displays a table of Gap Analysis Project List data.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>		775	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	3/15/2002	MHS Samp xx.1	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Gail Brown</a>	3/15/2004	MHS Samp xx.2	3			
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>

# Create User Accounts within Subscription (3 of 4)

2. Click on the [Add User](#) button from the Admin screen



# Create User Accounts within Subscription (1 of 4)

3. Fill out the user's name, address, phone number, email address
4. Create a User ID and password for the user
5. Select the appropriate user level
6. Click on the **Add** button

**BASICS™**  
Please click on Add/Update to save changes...

**Log Off** **Menu** **Back** **Add New User** **Help**

Title	Commander	WWWWeb	
*First Name	Jane	*E-Mail	jane.doe@email.com
Middle Name	M	Phone	703-234-4434
*Last Name	Doe	Fax	703-332-9776
Suffix		800	
Display as <input checked="" type="radio"/> Full Name			
Address	123 Main St	Choose Password	
Address		*UserId	jdoe
City	Fairfax	*Password	*****
State	Virginia	*Confirm Password	*****
Country	USA	Level	User
Zip	22030		Lead User
			User

**Clear** **Add**

# Subscription Account Setup

## Summary

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- You should now be able to:
  - Describe the process for obtaining a Subscriber Administrator account
  - Log in as a Subscriber Administrator
  - Create user accounts within your subscription

# Lead User Functions

## Lead User Functions

# Objectives

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- Upon completion of this lesson, you will be able to:
  - Obtain a Lead User account and login as a Lead User
  - Identify the links in the Gap Analysis Project list
  - Create a Gap Analysis
  - Assign members to your assessment team
  - Answer requirements
  - Create baseline assessment
  - Reassign user assignments
  - Remove and Inactivate team members
  - View user assignments
  - Edit Gap Analysis details
  - Change password

# Obtaining a Lead User Account

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- Lead User accounts are created by the Subscriber Administrator of a given subscription
- The Subscriber Administrator is responsible for communicating login information to the appropriate Lead User



# Lead User Login (1 of 3)

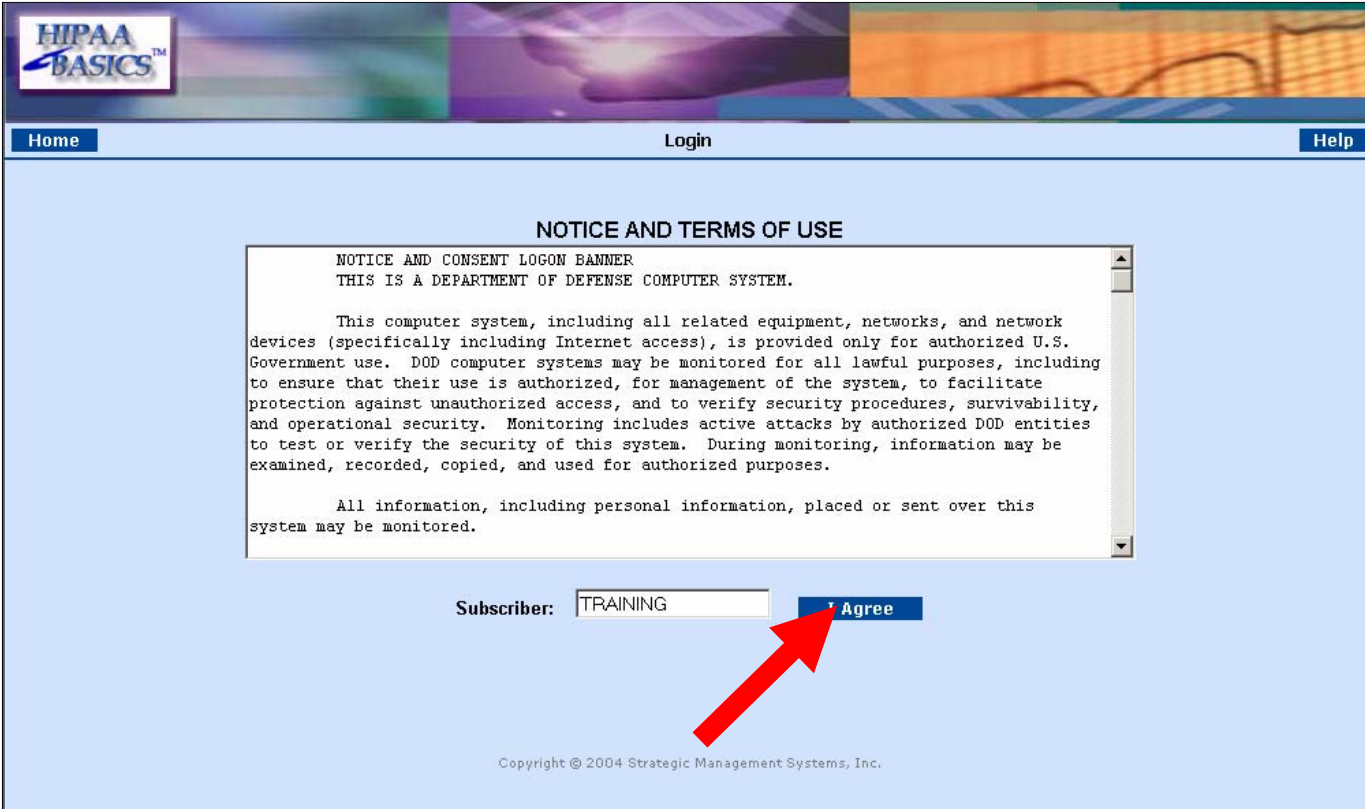
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- There are three pieces of information that must be known in order to login:
  - Subscription
  - User ID
  - Password
- Upon logging in for the first time you will be prompted to change your password

## Lead User Functions

# Lead User Login (2 of 3)

1. Enter the Subscriber
2. Click on **I Agree**



The screenshot shows the HIPAA BASICS login interface. At the top, there is a banner with the text "HIPAA BASICS™" and a navigation bar with "Home", "Login", and "Help" links. The main content area displays a "NOTICE AND TERMS OF USE" banner. The banner text reads: "NOTICE AND CONSENT LOGON BANNER THIS IS A DEPARTMENT OF DEFENSE COMPUTER SYSTEM. This computer system, including all related equipment, networks, and network devices (specifically including Internet access), is provided only for authorized U.S. Government use. DOD computer systems may be monitored for all lawful purposes, including to ensure that their use is authorized, for management of the system, to facilitate protection against unauthorized access, and to verify security procedures, survivability, and operational security. Monitoring includes active attacks by authorized DOD entities to test or verify the security of this system. During monitoring, information may be examined, recorded, copied, and used for authorized purposes. All information, including personal information, placed or sent over this system may be monitored." Below the banner, there is a "Subscriber:" label, a text input field containing "TRAINING", and a blue button labeled "I Agree". A red arrow points to the "I Agree" button. At the bottom, there is a copyright notice: "Copyright © 2004 Strategic Management Systems, Inc."

## Lead User Functions

# Lead User Login (3 of 3)

2. Enter your User ID and password
3. Click on **Login**

The screenshot shows the HIPAA BASICS™ Lead User Login page. The header features the HIPAA BASICS™ logo on the left and navigation links for 'Home', 'Login', and 'Help' on the right. The main content area is a light blue box containing a login form. The form has two labels, 'User ID' and 'Password', each followed by a text input field. The 'User ID' field contains the text 'mmccarron' and the 'Password' field contains a series of asterisks. Below the input fields is a blue 'Login' button. A large red arrow points from the bottom left towards the 'Login' button. At the bottom of the page, there is a small copyright notice: 'Copyright © 2000-2004 Strategic Management Systems, Inc. All Rights Reserved.'

## Lead User Functions

# Gap Analysis Project List

- Default screen for Lead Users
- Users can view and access information relating to:
  - Users
  - Gap Analysis Project List
  - Policies and Forms

The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo on the left and a 'Subscriber : Training' indicator on the right. Below the header is a navigation bar with buttons for 'Log Off', 'Back', 'Gap Analysis Project List' (the active page), 'Info', 'Contact Us', and 'Help'. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution'. On the left side of the main area is a sidebar menu with buttons for 'Users', 'Gap Analysis Project List' (selected), 'Policies & Forms', and 'Add Gap'. Below the menu, the user 'Megan McCarron' is listed. The main content area contains a table with the following data:

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			

# Links in the Gap Analysis Project List Screen

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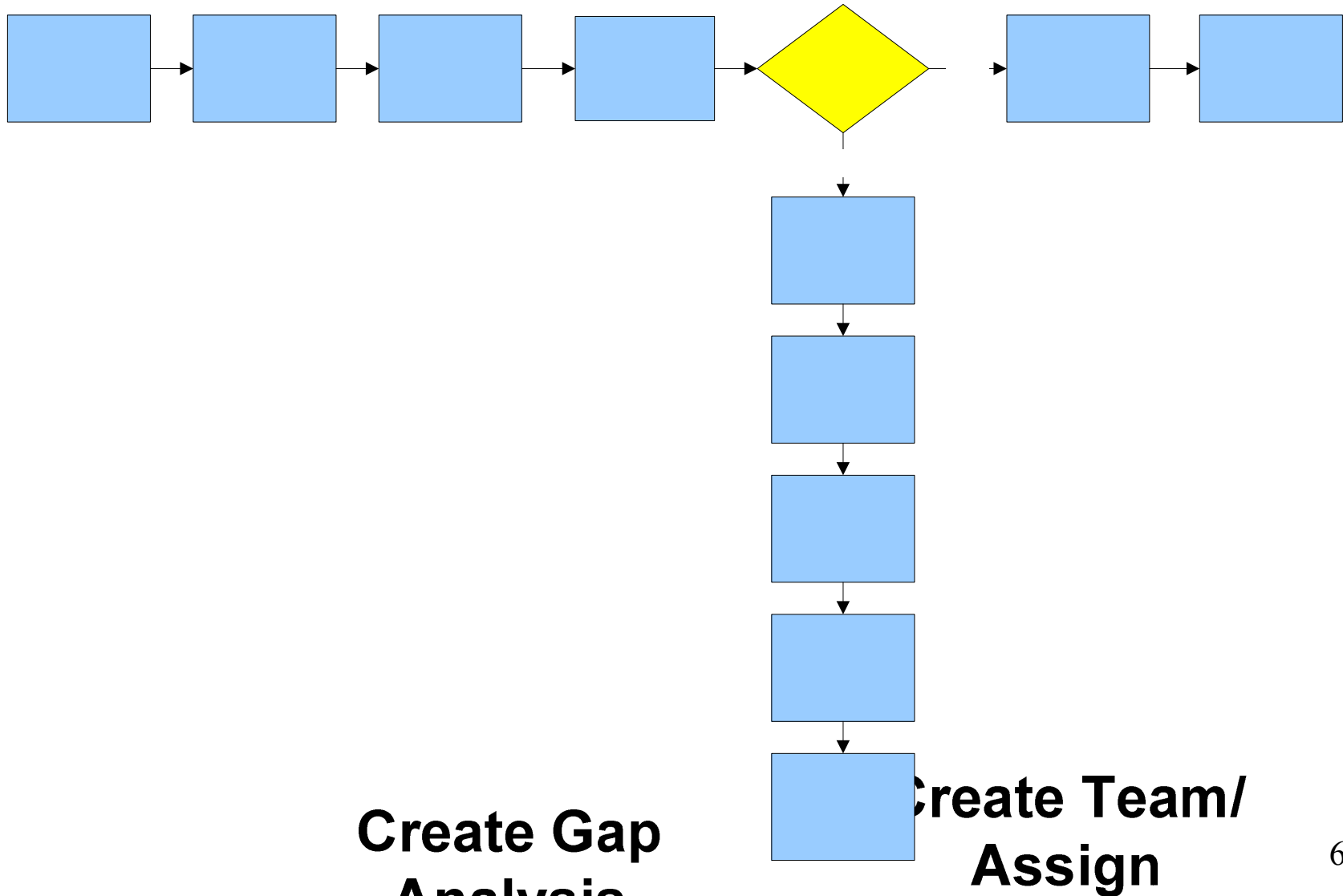
- **Answer**- allows user to answer the requirement and its related tasks
- **Assign**- allows Lead User to assign requirements and view status of related tasks
- **Data Collection Date**- indicates when a Gap Analysis was set up
- **Gap ID**- allows users to distinguish between Gap Analyses
- **Edit**- allows Lead User to enter data, generate project plan, reassign users within Gap Analysis
- **Report**- allows Lead User to generate Gap Analysis reports
- **Status**- allows Lead User to create a graphical status report about the Gap Analysis

# Additional Links

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- **Users** – displays all of the users by Gap ID
- **Gap Analysis Project List** - displays Lead User's assessments
- **Policies and Forms**- used as a reference to specific policies and forms that can be customized to meet MTF requirements
- **Add Gap** – used to add a new Gap Analysis Project
- **User Name** – allows you to view information about the user details of your account

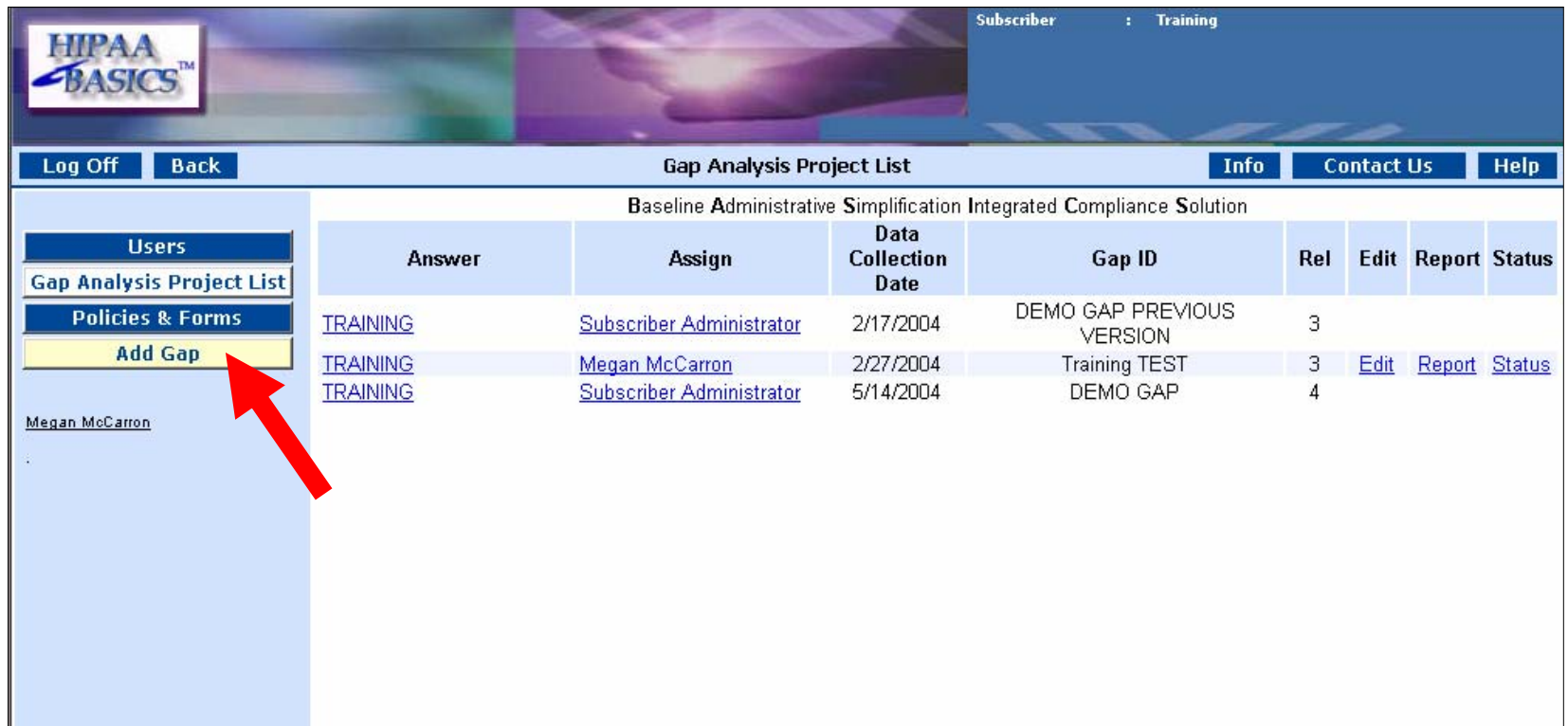
# Create a Gap Analysis (1 of 3)



## Lead User Functions

# Create a Gap Analysis (2 of 3)

1. Click on the [Add Gap](#) button



The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo and a 'Subscriber : Training' indicator. Below the header, a navigation bar contains buttons for 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution'. On the left, a sidebar menu lists 'Users', 'Gap Analysis Project List', 'Policies & Forms', and 'Add Gap'. A red arrow points to the 'Add Gap' button. The main area displays a table of gap analysis projects.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			



## Lead User Functions

# Create a Gap Analysis (3 of 3)

2. Enter the Data Collection Date and Gap ID
3. Select the Applicability
4. Click on **Add**

Security Gap ID  
naming convention:  
“Baseline Security MTF”  
“Security Status # MTF”

Please click on Add/Update to save changes...

[Log Off](#) [Back](#) [Help](#)

**Add New Gap Analysis Project**


**\*Lead User**  
Data Collection Date (mm/dd/yyyy)   
Gap ID   
Notes for Client   
Date Completed (mm/dd/yyyy)   
Internal

**Partial Gap Analysis (OPTIONAL):**  
If you wish to set HIPAA Rule(s) as Not Applicable, you may uncheck the corresponding Applicability boxes and thereby pre-answer with "Does Not Apply". This has the effect that the Status of all Tasks for the Requirements of the deselected Rule(s) are set to "Does Not Apply".

Standards for Electronic Transactions and Code Sets  
Standard Unique Health Identifier for Health Care Providers  
Security Standards  
Standards for the Privacy of Individually Identifiable Health Information  
National Standard Employer Identifier  
National Standard Health Plan Identifier

**Applicability**

☒ ☒ ☒ ☒ ☒ ☒

**Add** 

[Clear](#) [NewVersion](#)

# Assign Members to your Team (1 of 5)

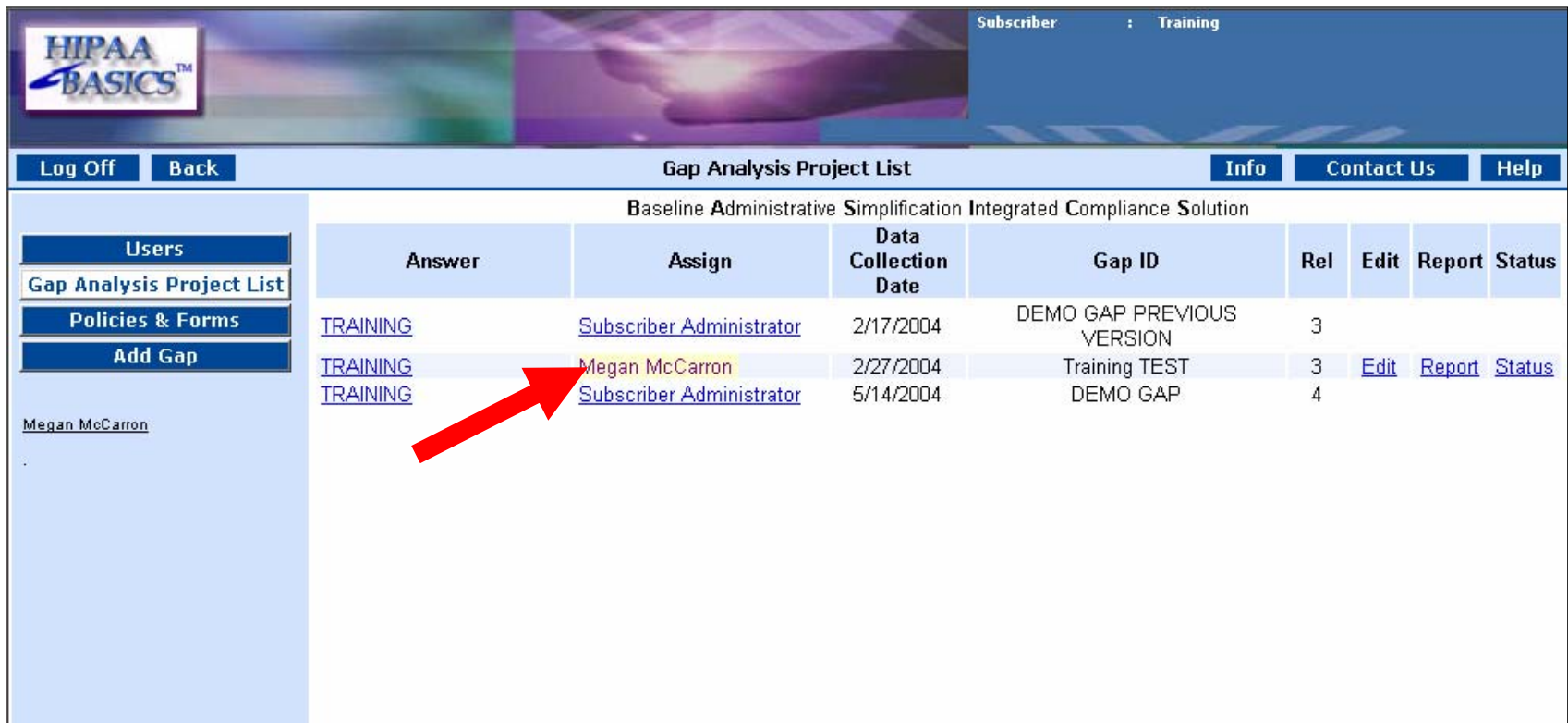
---

- Once the Gap Analysis is created, you can assign members to your assessment team
- A user must be part of your subscription in order for them to be added to your team
- As part of your team, these members will play a key role in carrying out the assessment by answering assigned requirements
- Each Gap Analysis has its own team

## Lead User Functions

# Assign Members to your Team (2 of 5)

1. Select the [Assign](#) link for your Gap Analysis



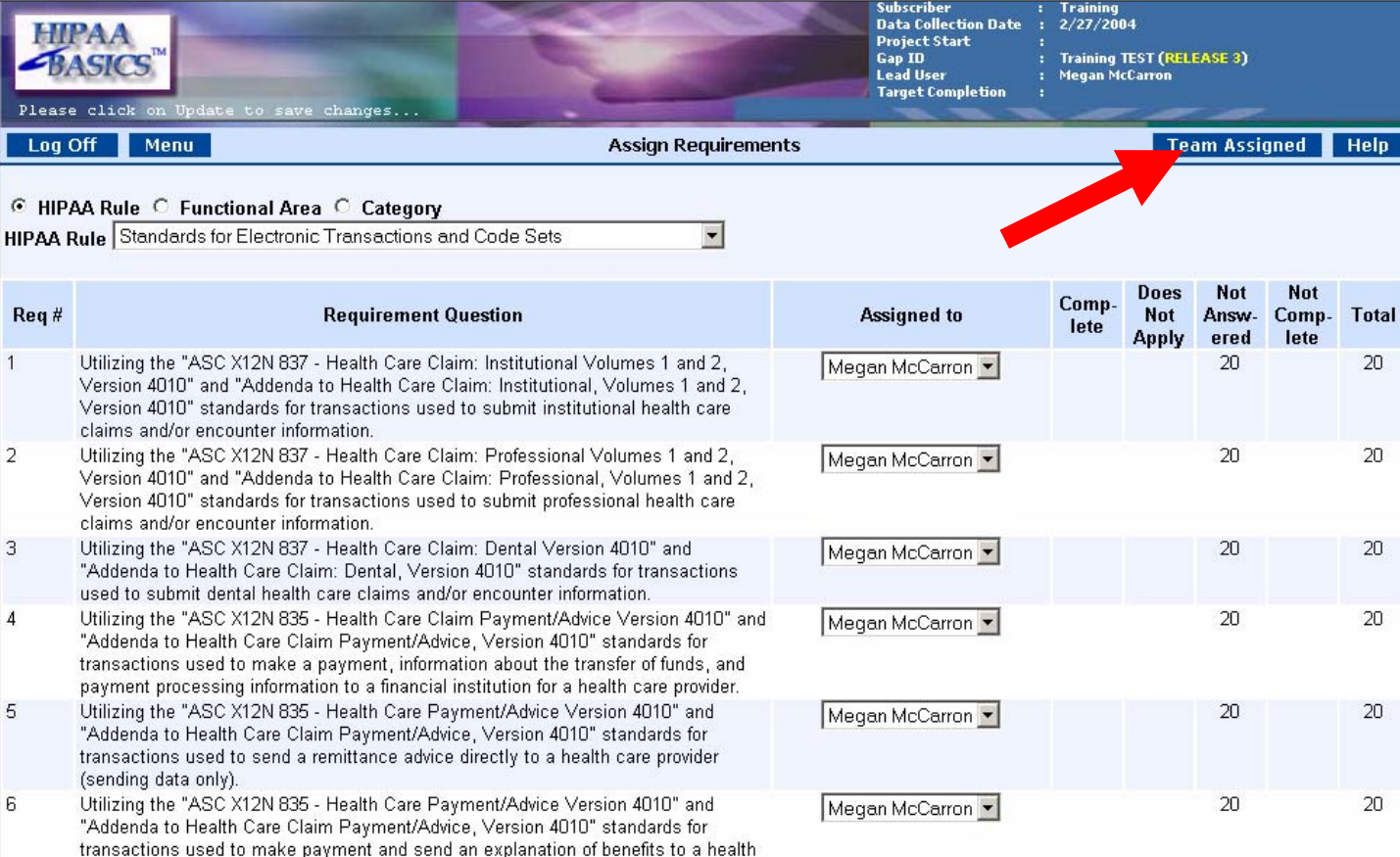
The screenshot displays the HIPAA BASICS web application. At the top, there is a header with the HIPAA BASICS logo and a 'Subscriber : Training' indicator. Below the header is a navigation bar with 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help' buttons. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution'. On the left, there is a sidebar with 'Users', 'Gap Analysis Project List', 'Policies & Forms', and 'Add Gap' buttons. The main table lists gap analysis projects with columns: Answer, Assign, Data Collection Date, Gap ID, Rel, Edit, Report, and Status. A red arrow points to the 'Assign' link in the second row of the table.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			

## Lead User Functions

# Assign Members to your Team (3 of 5)

## 2. Click on the Team Assigned button



The screenshot shows the HIPAA BASICS application interface. At the top, there is a header bar with the HIPAA BASICS logo on the left and a status bar on the right containing the following information:

- Subscriber : Training
- Data Collection Date : 2/27/2004
- Project Start : Training TEST (RELEASE 3)
- Gap ID : Megan McCarron
- Lead User : Megan McCarron
- Target Completion :

Below the header bar, there is a navigation bar with buttons for Log Off, Menu, Assign Requirements, Team Assigned, and Help. A red arrow points to the Team Assigned button.

Below the navigation bar, there is a section for selecting filters:

☒ HIPAA Rule ☐ Functional Area ☐ Category

HIPAA Rule: Standards for Electronic Transactions and Code Sets

Below the filters, there is a table with the following columns: Req #, Requirement Question, Assigned to, Complete, Does Not Apply, Not Answered, Not Complete, and Total.

Req #	Requirement Question	Assigned to	Complete	Does Not Apply	Not Answered	Not Complete	Total
1	Utilizing the "ASC X12N 837 - Health Care Claim: Institutional Volumes 1 and 2, Version 4010" and "Addenda to Health Care Claim: Institutional, Volumes 1 and 2, Version 4010" standards for transactions used to submit institutional health care claims and/or encounter information.	Megan McCarron			20		20
2	Utilizing the "ASC X12N 837 - Health Care Claim: Professional Volumes 1 and 2, Version 4010" and "Addenda to Health Care Claim: Professional, Volumes 1 and 2, Version 4010" standards for transactions used to submit professional health care claims and/or encounter information.	Megan McCarron			20		20
3	Utilizing the "ASC X12N 837 - Health Care Claim: Dental Version 4010" and "Addenda to Health Care Claim: Dental, Version 4010" standards for transactions used to submit dental health care claims and/or encounter information.	Megan McCarron			20		20
4	Utilizing the "ASC X12N 835 - Health Care Claim Payment/Advice Version 4010" and "Addenda to Health Care Claim Payment/Advice, Version 4010" standards for transactions used to make a payment, information about the transfer of funds, and payment processing information to a financial institution for a health care provider.	Megan McCarron			20		20
5	Utilizing the "ASC X12N 835 - Health Care Payment/Advice Version 4010" and "Addenda to Health Care Claim Payment/Advice, Version 4010" standards for transactions used to send a remittance advice directly to a health care provider (sending data only).	Megan McCarron			20		20
6	Utilizing the "ASC X12N 835 - Health Care Payment/Advice Version 4010" and "Addenda to Health Care Claim Payment/Advice, Version 4010" standards for transactions used to make payment and send an explanation of benefits to a health	Megan McCarron			20		20

## Lead User Functions

# Assign Members to your Team (4 of 5)

3. Click on the **Add** button to add a member to your team

**HIPAA BASICS™**

Please click on Update to save changes...

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :

Log Off Menu Team Assigned Assign Requirement Help

Lead User: Megan McCarron

Check to Delete	Team Members
<input type="checkbox"/>	Alec Karry
<input type="checkbox"/>	Gail Brown
<input type="checkbox"/>	Karla Cisneros
<input type="checkbox"/>	Megan McCarron
<input type="checkbox"/>	Rommie Misleh

**Add** **Delete**

## Lead User Functions

# Assign Members to your Team (5 of 5)

4. Using the “Team Members” drop down box, select the user that you want to add to your team
5. Click on the **Save** button

**HIPAA BASICS™**

Please click on Update to save changes...

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :

Log Off Menu Team Assigned Assign Requirement Help

Lead User: Megan McCarron

Check to Delete

**Team Members**

<input type="checkbox"/>	Alec Karry
<input type="checkbox"/>	Gail Brown
<input type="checkbox"/>	Karla Cisneros
<input type="checkbox"/>	Megan McCarron
<input type="checkbox"/>	Rommie Misleh
<input type="checkbox"/>	

**Save**

A. Karry  
Alec Karry  
Gail Brown  
Jane Doe  
Karla Cisneros  
Megan McCarron  
Natalie Scovel  
R. Misleh  
Rommie Misleh  
Colonel Regular User

# Assign Requirements to Team Members (1 of 4)

---

- Once a team of users has been assigned to the Gap Analysis, the users can be assigned requirements
- You should use your SMEs



# Assign Requirements to Team Members (2 of 4)

1. Select the [Assign](#) link for your Gap Analysis


The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo on the left and a 'Subscriber : Training' indicator on the right. Below the header is a navigation bar with 'Log Off' and 'Back' buttons on the left, and 'Info', 'Contact Us', and 'Help' buttons on the right. The main content area is titled 'Gap Analysis Project List' and features a table with columns: Answer, Assign, Data Collection Date, Gap ID, Rel, Edit, Report, and Status. The table contains three rows of data. A red arrow points to the 'Assign' column of the second row, which lists 'Megan McCarron'. The left sidebar contains a menu with 'Users', 'Gap Analysis Project List', 'Policies & Forms', and 'Add Gap' buttons. Below the menu, the name 'Megan McCarron' is displayed.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			



# Assign Requirements to Team Members (3 of 4)

- From the "HIPAA Rule" drop down box, select the area that you would like to assign requirements



Please click on Update to save changes...

Subscriber : Training  
 Data Collection Date : 2/27/2004  
 Project Start :  
 Gap ID : Training TEST (RELEASE 3)  
 Lead User : Megan McCarron  
 Target Completion :

Log Off
Menu
Assign Requirements
Team Assigned
Help

☒ HIPAA Rule
 ☐ Functional Area
 ☐ Category


HIPAA Rule
 

Standards for Electronic Transactions and Code Sets

Req #	Description	Assigned to	Complete	Does Not Apply	Not Answered	Not Complete	Total
1	Utilizing the "ASC X12N 837 - Health Care Claim: Professional Volumes 1 and 2, Version 4010" standards for transactions used to submit institutional health care claims and/or encounter information.	Megan McCarron			20		20
2	Utilizing the "ASC X12N 837 - Health Care Claim: Professional Volumes 1 and 2, Version 4010" and "Addenda to Health Care Claim: Professional, Volumes 1 and 2, Version 4010" standards for transactions used to submit professional health care claims and/or encounter information.	Megan McCarron			20		20
3	Utilizing the "ASC X12N 837 - Health Care Claim: Dental Version 4010" and "Addenda to Health Care Claim: Dental, Version 4010" standards for transactions used to submit dental health care claims and/or encounter information.	Megan McCarron			20		20
4	Utilizing the "ASC X12N 835 - Health Care Claim Payment/Advice Version 4010" and "Addenda to Health Care Claim Payment/Advice, Version 4010" standards for transactions used to make a payment, information about the transfer of funds, and payment processing information to a financial institution for a health care provider.	Megan McCarron			20		20
5	Utilizing the "ASC X12N 835 - Health Care Claim Payment/Advice Version 4010" and "Addenda to Health Care Claim Payment/Advice, Version 4010" standards for transactions used to send a remittance advice directly to a health care provider (sending data only).	Megan McCarron			20		20
6	Utilizing the "ASC X12N 835 - Health Care Claim Payment/Advice Version 4010" and "Addenda to Health Care Claim Payment/Advice, Version 4010" standards for	Megan McCarron			20		20

# Assign Requirements to Team Members (4 of 4)

- Using the “Assigned To” drop down box, select the team member you want to assign each requirement
- Once you have completed your requirements assignment, scroll to the bottom of the screen and click on **Update**



Please click on Update to save changes...

Subscriber : Training  
 Data Collection Date : 2/27/2004  
 Project Start :  
 Gap ID : Training TEST (RELEASE 3)  
 Lead User : Megan McCarron  
 Target Completion :

Log Off
Menu
Assign Requirements
Team Assigned
Help

☒ HIPAA Rule
 ☐ Functional Area
 ☐ Category

HIPAA Rule Security Standards
Part 1
Part 2

Req #	Requirement Question	Assigned to	Complete	Does Not Apply	Not Answered	Not Complete	Total
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.	Megan McCarron	5		15		20
108	A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).	Alec Karry Gail Brown Jane Doe Karla Cisneros Megan McCarron Rommie Misleh	19				19
109	A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).	Karla Cisneros	14				14
110	A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).				7		7
111	Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking reports, are implemented (R).	Karla Cisneros			15		15
112	A Security Official who is responsible for the development and implementation of the policies and procedures required by the Rule has been identified.	Karla Cisneros	11				11
113	Policies and procedures to ensure that all members of the workforce have appropriate access to electronic protected health information, and to prevent those workforce members who do not have access from obtaining access to electronic protected health information are implemented.	Gail Brown	3		15		18
114	Procedures for the Authorization and/or Supervision of workforce members who work with electronic protected health information or in locations where it might be accessed have been implemented (R).	Alec Karry			9		9

# Answer Requirements (1 of 10)

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- This is a function that can be performed by all users
- Each Requirement Question is broken down into supporting tasks
  - Up to 20 tasks for each requirement
- Notes
  - Requirement note
    - High level comment for internal use
  - Task note – required by TMA for each task
    - Used to reference policy/document that was used to answer a given task

# Answer Requirements (2 of 10)

1. Select the [Answer](#) link on the Gap Analysis Project List screen

Subscriber : Training

Log Off Back Gap Analysis Project List Info Contact Us Help

Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			

Megan McCarron

## Lead User Functions

# Answer Requirements (3 of 10)

- Sort the Requirement Questions by HIPAA Rule, Functional Area, or Category
- Select your name from the “Assigned To” drop down box to view your assignments

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :

Log Off Menu Back Requirements and Gap Answers Help

☒ HIPAA Rule ☐ Functional Area ☐ Category

Security Standards

Assigned to: Megan McCarron

#	Requirement Question	
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain	violations.
117	Information Access Management through policies and procedures for authorizing access to electronic protected	that are consistent with HIPAA
123	Privacy Standards, is implemented.	
124	Procedures for guarding against, detecting, and reporting malicious software are implemented (A).	
126	Log-in Monitoring procedures for monitoring log-in attempts and reporting discrepancies are implemented (A).	
127	Security Incident Procedures and policies to address security incidents are implemented.	
129	Response and Reporting procedures are in place to (1) identify and respond to suspected or known security incidents; (2) mitigate harmful effects of security incidents that are known to the covered entity; and (3) document security incidents and their outcomes (R).	
131	Ensure that a Data Backup Plan with procedures to create and maintain retrievable exact copies of electronic protected health information are established and implemented as needed (R).	
133	Procedures to enable continuation of critical business processes for protection of the security of electronic protected health information while operating in emergency mode are established (and implemented as needed) (R).	
143	An Applications and Data Criticality Analysis to assess the relative criticality of specific applications and data in support of other contingency plan components is performed (A).	
144	Physical safeguards to ensure Workstation Security for all workstations that access electronic protected health information, to restrict access to authorized users are implemented.	
	Device and Media Control policies and procedures, which govern the receipt and removal of hardware and electronic media that contain electronic protected health information into and out of a facility, and the movement of these items within the facility, are implemented.	



## Lead User Functions

# Answer Requirements (4 of 10)

4. Select the link for the Requirement Question that you will answer

The screenshot shows the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo and a sidebar with user information: Subscriber: Training, Data Collection Date: 2/27/2004, Project Start: , Gap ID: Training TEST (RELEASE 3), Lead User: Megan McCarron, Target Completion: . Below the header is a navigation bar with buttons for Log Off, Menu, Back, and a Help button. The main content area is titled 'Requirements and Gap Answers'. It features a filter section with radio buttons for 'HIPAA Rule' (selected), 'Functional Area', and 'Category'. A dropdown menu shows 'Security Standards'. To the right, there is a field 'Assigned to' with 'Megan McCarron' selected. Below this is a table with two columns: '#' and 'Requirement Question'. The table lists several requirements, with item 107 highlighted by a red arrow. The requirement for item 107 is: 'A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations. Information Access Management through policies and procedures for authorizing access to electronic protected health information, that are consistent with HIPAA Privacy Standards, is implemented.'

#	Requirement Question
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations. Information Access Management through policies and procedures for authorizing access to electronic protected health information, that are consistent with HIPAA Privacy Standards, is implemented.
123	Procedures for guarding against, detecting, and reporting malicious software are implemented (A).
124	Log-in Monitoring procedures for monitoring log-in attempts and reporting discrepancies are implemented (A).
126	Security Incident Procedures and policies to address security incidents are implemented.
127	Response and Reporting procedures are in place to (1) identify and respond to suspected or known security incidents; (2) mitigate harmful effects of security incidents that are known to the covered entity; and (3) document security incidents and their outcomes (R).
129	Ensure that a Data Backup Plan with procedures to create and maintain retrievable exact copies of electronic protected health information are established and implemented as needed (R).
131	Procedures to enable continuation of critical business processes for protection of the security of electronic protected health information while operating in emergency mode are established (and implemented as needed) (R).
133	An Applications and Data Criticality Analysis to assess the relative criticality of specific applications and data in support of other contingency plan components is performed (A).
143	Physical safeguards to ensure Workstation Security for all workstations that access electronic protected health information, to restrict access to authorized users are implemented.
144	Device and Media Control policies and procedures, which govern the receipt and removal of hardware and electronic media that contain electronic protected health information into and out of a facility, and the movement of these items within the facility, are implemented.
157	Person or Entity Authentication procedures to verify that a person or entity seeking access to electronic protected health information is the one claimed are

## Lead User Functions

# Answer Requirements (5 of 10)

5. Scroll down to the Requirement Task section
6. Select the link for the Task that you want to answer

107.01	<input type="text" value="Complete"/>	<a href="#">The administrative policies and procedures used to meet this requirement are documented.</a>	<input checked="" type="checkbox"/>
107.02	<input type="text" value="Complete"/>	<a href="#">The principle of least privilege is addressed. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.03	<input type="text" value="Complete"/>	<a href="#">Separation of duties is addressed. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.04	<input type="text" value="Complete"/>	<a href="#">The required qualifications for each security management role are included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.05	<input type="text" value="Complete"/>	<a href="#">An information security official role or equivalent is included.</a>	<input checked="" type="checkbox"/>
107.06	<input type="text" value="Not Answered"/>	<a href="#">An internal auditor role or equivalent is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.07	<input type="text" value="Not Answered"/>	<a href="#">A technical security management role is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.08	<input type="text" value="Not Answered"/>	<a href="#">A personnel clearance framework is established or referenced.</a>	<input checked="" type="checkbox"/>
107.09	<input type="text" value="Not Answered"/>	<a href="#">A physical security management role is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.10	<input type="text" value="Not Answered"/>	<a href="#">A hierarchy of security management roles is specified. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.11	<input type="text" value="Not Answered"/>	<a href="#">The procedures for nominating candidates to fill each role are outlined. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.12	<input type="text" value="Not Answered"/>	<a href="#">The procedures for selecting a candidate for each defined security management role are outlined. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.13	<input type="text" value="Not Answered"/>	<a href="#">The duration an individual is assigned to a given role is indicated. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.14	<input type="text" value="Not Answered"/>	<a href="#">An administrative security management role is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.15	<input type="text" value="Not Answered"/>	<a href="#">A description for each of security management team member's responsibilities and duties is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.16	<input type="text" value="Not Answered"/>	<a href="#">A security management plan that addresses prevention, detection, containment, and correction of security violations is included.</a>	<input checked="" type="checkbox"/>
107.17	<input type="text" value="Not Answered"/>	<a href="#">The security management plan includes all of the workforce, including those working from home.</a>	<input checked="" type="checkbox"/>
107.18	<input type="text" value="Not Answered"/>	<a href="#">A compliance program is included in the security management plan.</a>	<input checked="" type="checkbox"/>
107.19	<input type="text" value="Not Answered"/>	<a href="#">A training program is included in the security management plan.</a>	<input checked="" type="checkbox"/>
107.20	<input type="text" value="Not Answered"/>	<a href="#">Processes to ensure reasonableness and appropriateness of security controls selected, considering risk analyses and factors specific to the organization (e.g., size, environment, operating changes, configuration) are included.</a>	<input checked="" type="checkbox"/>
<input type="checkbox"/> All Complete / Not Complete		<input type="radio"/> Applicable <input type="radio"/> Not Applicable <input checked="" type="radio"/> All	<input type="checkbox"/> On / Off

# Answer Requirements: Task Notes (6 of 10)

7. Review the Regulatory Authority and Requirement Intro
8. Enter a Task Note
9. Click on the **Update** button

**HIPAA BASICS™**  
Please click on Add/Update to save changes...

**Log Off** **Menu** **Back** **Task Notes** **Help**

<b>HIPAA Rule</b>	Security Standards
<b>Functional Area</b>	Information Technology
<b>Project Category</b>	VI: Security Management Process
<b>Requirement Question</b>	107: A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.
<b>Regulatory Authority</b>	A covered entity must implement Administrative Safeguards to protect the confidentiality, integrity, and availability of all electronic protected health information that the covered entity creates, receives, maintains, or transmits. The safeguards must protect against reasonably anticipated threats or hazards to the security and integrity of such information. They must also protect against any reasonably anticipated uses and disclosures of such information that are not permitted or required. The approach is flexible. In deciding which security measures to use, a covered entity must take into account a variety of factors, including size, complexity and capabilities of the covered entity, cost, technical infrastructure and capabilities, and probability and criticality of potential risks. [164.308 (a)(1)(i); in accordance with § 164.306(a)(b)] [For exact quotation of Regulatory Authority and the Rule, see <a href="http://aspe.hhs.gov/admnsimp">http://aspe.hhs.gov/admnsimp</a> ]
<b>Requirement Intro</b>	Administrative safeguards are administrative actions, and policies and procedures, to manage the selection, development, implementation, and maintenance of security measures to protect electronic protected health information and to manage the conduct of the covered entity's workforce in relation to the protection of that information. An implementation requirement standard of the administrative safeguards includes a documented and well communicated Security Management Process is important as it enforces the formal analysis and assessment of risks as well as audits and sanctions. Being informed and prepared is critical for success. The security management process accomplishes this in an ever-changing security risk environment. Security standards establish a minimum level of security that covered entities must meet.

**TaskID** 107.01  
**Requirement Test** The administrative policies and procedures used to meet this requirement are documented  
**Task Notes** in compliance with DoD I 8500.2

**Update**



## Lead User Functions

# Answer Requirements (7 of 10)

10. Locate the Requirement Task that you completed

11. Select **Complete** from the Status drop down box

12. Click on the **Update** button to save your work

107.01	<div>Complete</div>	<a href="#">The administrative policies and procedures used to meet this requirement are documented.</a>	<input checked="" type="checkbox"/>
107.02	<div>Not Complete</div>	<a href="#">The principle of least privilege is addressed. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.03	<div>Complete</div>	<a href="#">Separation of duties is addressed. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.04	<div>Complete</div>	<a href="#">The required qualifications for each security management role are included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.05	<div>Complete</div>	<a href="#">An information security official role or equivalent is included.</a>	<input checked="" type="checkbox"/>
107.06	<div>Not Answered</div>	<a href="#">An internal auditor role or equivalent is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.07	<div>Not Answered</div>	<a href="#">A technical security management role is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.08	<div>Not Answered</div>	<a href="#">A personnel clearance framework is established or referenced.</a>	<input checked="" type="checkbox"/>
107.09	<div>Not Answered</div>	<a href="#">A physical security management role is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.10	<div>Not Answered</div>	<a href="#">A hierarchy of security management roles is specified. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.11	<div>Not Answered</div>	<a href="#">The procedures for nominating candidates to fill each role are outlined. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.12	<div>Not Answered</div>	<a href="#">The procedures for selecting a candidate for each defined security management role are outlined. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.13	<div>Not Answered</div>	<a href="#">The duration an individual is assigned to a given role is indicated. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.14	<div>Not Answered</div>	<a href="#">An administrative security management role is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.15	<div>Not Answered</div>	<a href="#">A description for each of security management team member's responsibilities and duties is included. [OPTIONAL]</a>	<input checked="" type="checkbox"/>
107.16	<div>Not Answered</div>	<a href="#">A security management plan that addresses prevention, detection, containment, and correction of security violations is included.</a>	<input checked="" type="checkbox"/>
107.17	<div>Not Answered</div>	<a href="#">The security management plan includes all of the workforce, including those working from home.</a>	<input checked="" type="checkbox"/>
107.18	<div>Not Answered</div>	<a href="#">A compliance program is included in the security management plan.</a>	<input checked="" type="checkbox"/>
107.19	<div>Not Answered</div>	<a href="#">A training program is included in the security management plan.</a>	<input checked="" type="checkbox"/>
107.20	<div>Not Answered</div>	<a href="#">Processes to ensure reasonableness and appropriateness of security controls selected, considering risk analyses and factors specific to the organization (e.g., size, environment, operating changes, configuration) are included.</a>	<input checked="" type="checkbox"/>
<input type="checkbox"/> All Complete / Not Complete		<input type="radio"/> Applicable <input type="radio"/> Not Applicable <input checked="" type="radio"/> All	<input type="checkbox"/> On / Off
ID	Status	Requirement Test	Applicability
		<div>Update</div>	Assigned to : Megan McCarron


# Answer Requirements (8 of 10)

---

- Repeat the process of answering a task and its note for all tasks related to a given requirement
- Once you have answered “Complete” for all related tasks, you will be compliant with that requirement

## Answer Requirements: Requirement Notes (9 of 10)

13. Select the **Requirement Question** link to enter a Requirement note



Please click on Update to save changes...

Subscriber : Training  
 Data Collection Date : 2/27/2004  
 Project Start :  
 Gap ID : Training TEST (RELEASE 3)  
 Lead User : Megan McCarron  
 Target Completion :

Log Off
Menu
Back
Requirement Tasks
Help

<b>HIPAA Rule</b>	Security Standards
<b>Functional Area</b>	Information Technology
<b>Project Category</b>	VI: Security Management Process
<b>Requirement Question</b>	107: A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.
<b>Regulatory Authority</b>	A covered entity must implement Administrative Safeguards to protect the confidentiality, integrity, and availability of all electronic protected health information that the covered entity creates, receives, maintains, or transmits. The safeguards must protect against reasonably anticipated threats or hazards to the security and integrity of such information. They must also protect against any reasonably anticipated uses and disclosures of such information that are not permitted or required. The approach is flexible. In deciding which security measures to use, a covered entity must take into account a variety of factors, including size, complexity and capabilities of the covered entity, cost, technical infrastructure and capabilities, and probability and criticality of potential risks. [164.308 (a)(1)(i); in accordance with § 164.306(a)(b)]
<b>Requirement Intro</b>	Administrative safeguards are administrative actions, and policies and procedures, to manage the selection, development, implementation, and maintenance of security measures to protect electronic protected health information and to manage the conduct of the covered entity's workforce in relation to the protection of that information. An implementation requirement standard of the administrative safeguards includes a documented and well communicated Security Management Process is important as it enforces the formal analysis and assessment of risks as well as audits and sanctions. Being informed and prepared is critical for success. The security management process accomplishes this in an ever-changing security risk environment. Security standards establish a minimum level of security that covered entities must meet.

Update
Assigned to : Megan McCarron

ID	Status	Requirement Test	Applicability
	<input type="checkbox"/> All Complete / <input type="checkbox"/> Not Complete	<input type="radio"/> Applicable <input type="radio"/> Not Applicable <input checked="" type="radio"/> All	<input type="checkbox"/> On / Off

# Answer Requirements: Requirement Notes (10 of 10)

14. Enter a Requirement note

15. Click on the **Update** button

**HIPAA BASICS™**  
Please click on Add/Update to save changes...

**Log Off** **Menu** **Back** **Requirement Notes** **Help**

**HIPAA Rule** Security Standards  
**Functional Area** Information Technology  
**Project Category** VI: Security Management Process  
**Requirement Question** 107: A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.  
**Regulatory Authority** A covered entity must implement Administrative Safeguards to protect the confidentiality, integrity, and availability of all electronic protected health information that the covered entity creates, receives, maintains, or transmits. The safeguards must protect against reasonably anticipated threats or hazards to the security and integrity of such information. They must also protect against any reasonably anticipated uses and disclosures of such information that are not permitted or required. The approach is flexible. In deciding which security measures to use, a covered entity must take into account a variety of factors, including size, complexity and capabilities of the covered entity, cost, technical infrastructure and capabilities, and probability and criticality of potential risks. [164.308 (a)(1)(i); in accordance with § 164.306(a)(b)]  
**Requirement Intro** Administrative safeguards are administrative actions, and policies and procedures, to manage the selection, development, implementation, and maintenance of security measures to protect electronic protected health information and to manage the conduct of the covered entity's workforce in relation to the protection of that information. An implementation requirement standard of the administrative safeguards includes a documented and well communicated Security Management Process is important as it enforces the formal analysis and assessment of risks as well as audits and sanctions. Being informed and prepared is critical for success. The security management process accomplishes this in an ever-changing security risk environment. Security standards establish a minimum level of security that covered entities must meet.

**Requirement Notes**

In process. Completed 5 tasks

**Update**

# Create Baseline

---

- Generate Output – Project Plan
  - Point in time to create your baseline assessment
- Communicate with Subscriber Administrator to copy Gap Analysis
- Establish mitigation team
  - Conduct mitigation of compliance assessment gaps
  - Assign requirements and answer those that are incomplete

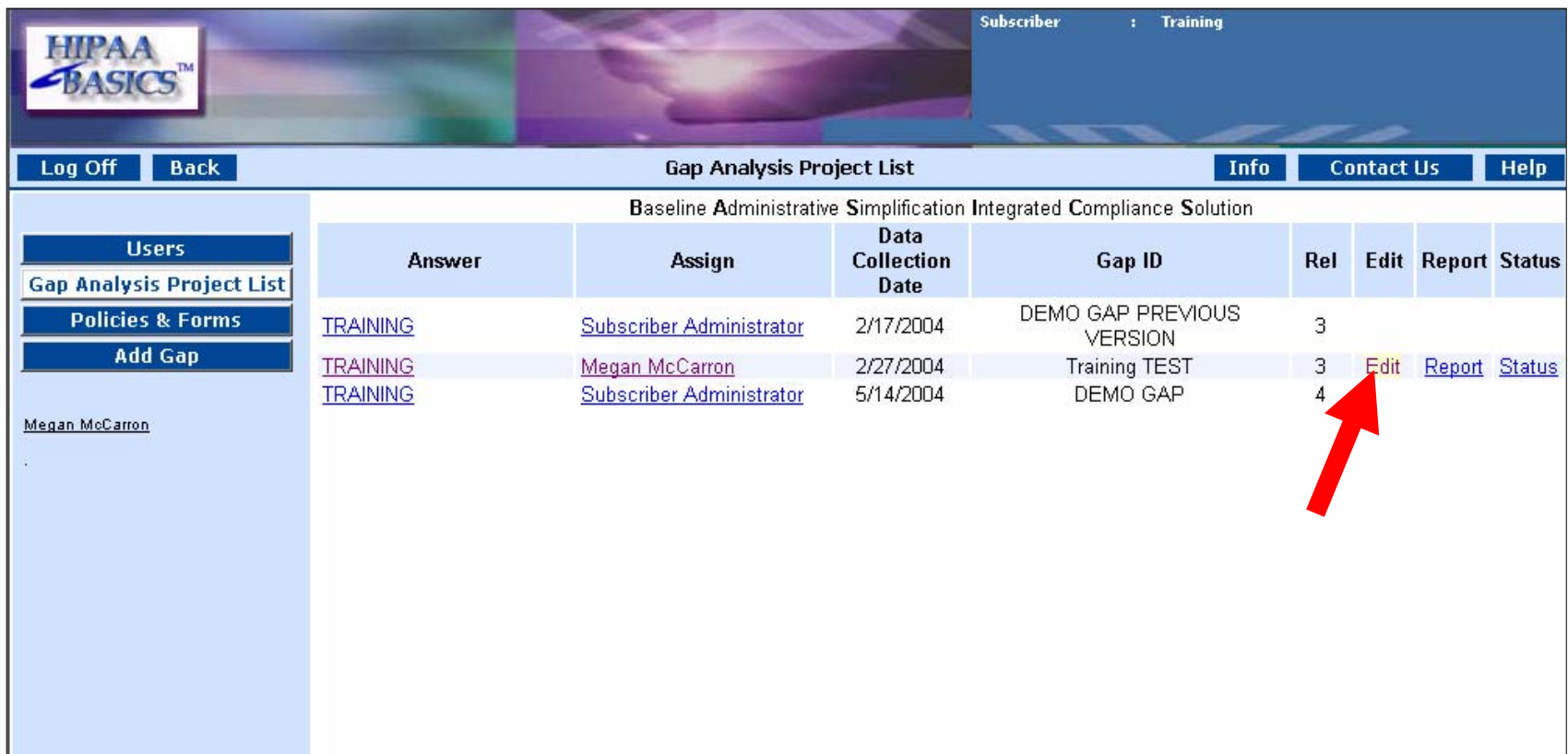
# Reassign User Assignments (1 of 4)

---

- Lead Users have the ability to reassign user assignments to other members of their team
- This would be done if a user was no longer going to participate in the assessment or is leaving the facility

# Reassign User Assignments (2 of 4)

1. Select the [Edit](#) link from the Gap Analysis Project List



The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo on the left and a 'Subscriber : Training' indicator on the right. Below the header is a navigation bar with buttons for 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The main content area is titled 'Baseline Administrative Simplification Integrated Compliance Solution' and contains a table with the following columns: Answer, Assign, Data Collection Date, Gap ID, Rel, Edit, Report, and Status. The table lists three projects, all associated with 'Training'. A red arrow points to the 'Edit' link in the third row of the table.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			



## Lead User Functions

# Reassign User Assignments (3 of 4)

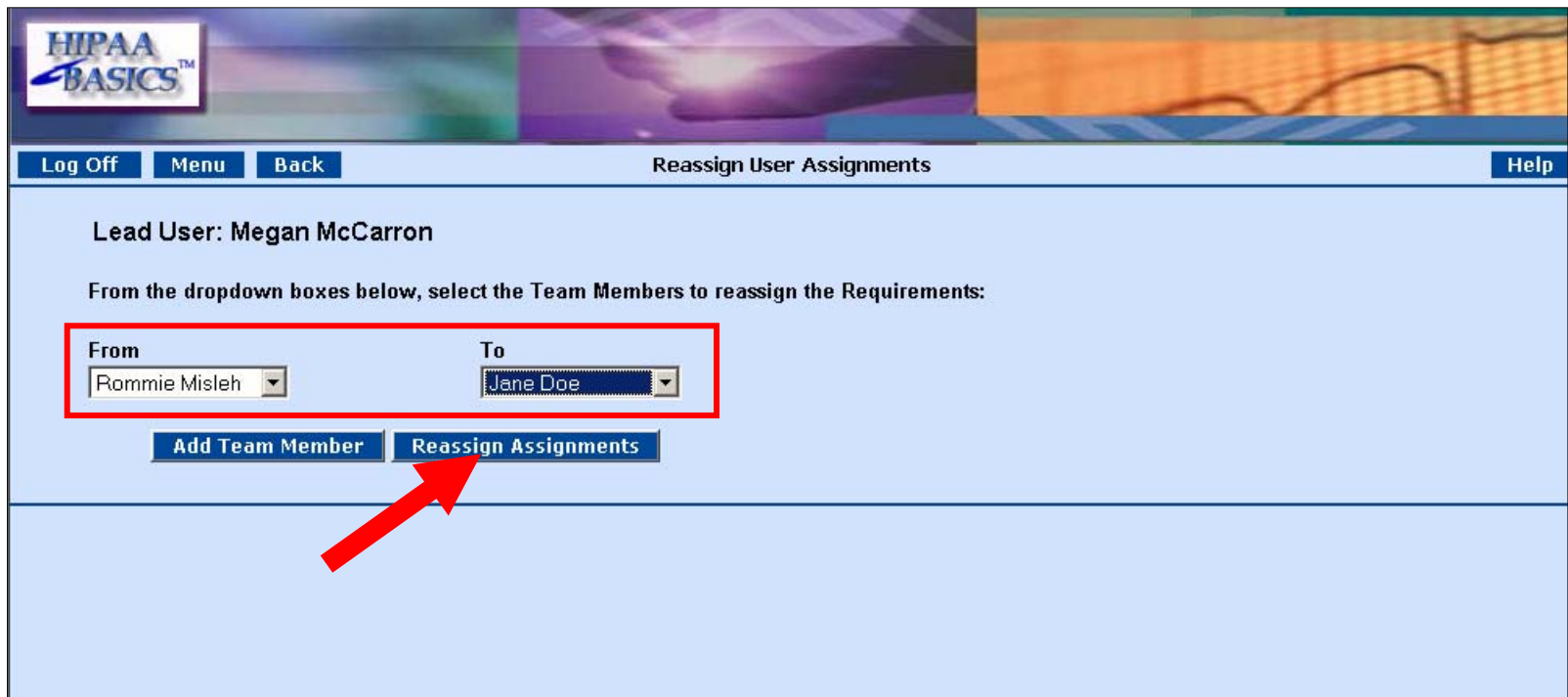
2. Click on the **Reassign User Assignments** button

The screenshot shows the 'Edit Gap Analysis' form in the HIPAA BASICS application. The form includes fields for 'Data Collection Date (mm/dd/yyyy)' (2/27/2004), 'Target Completion (mm/dd/yyyy)', 'Project Start (mm/dd/yyyy)', 'Gap ID' (Training TEST), 'Gap Active' (checked), and 'Date Completed (mm/dd/yyyy)'. There is a 'Notes for Client' text area containing 'Internal' and 'please look at this gap'. At the bottom, a row of buttons includes 'Project Plan', 'Project Plan XLS', 'Reassign User Assignments' (highlighted with a red arrow), 'Upgrade to New Release', and 'Update'. The top of the form has a 'Log Off' button, a 'Back' button, and a 'Help' button. A message at the top left says 'Please click on Add/Update to save changes...'.



# Reassign User Assignments (4 of 4)

3. From the “From” and “To” drop down boxes, select the appropriate Team Members
4. Click on the **Reassign Assignments** button



The screenshot shows the 'Reassign User Assignments' interface. At the top left is the 'HIPAA BASICS' logo. The navigation bar includes 'Log Off', 'Menu', 'Back', and 'Help' buttons. The main content area displays 'Lead User: Megan McCarron' and a prompt: 'From the dropdown boxes below, select the Team Members to reassign the Requirements:'. Below this prompt are two dropdown menus labeled 'From' and 'To'. The 'From' dropdown is set to 'Rommie Misleh' and the 'To' dropdown is set to 'Jane Doe'. These two dropdowns are enclosed in a red rectangular box. Below the dropdowns are two buttons: 'Add Team Member' and 'Reassign Assignments'. A red arrow points from the bottom towards the 'Reassign Assignments' button.

# Remove Users from a Team (1 of 4)

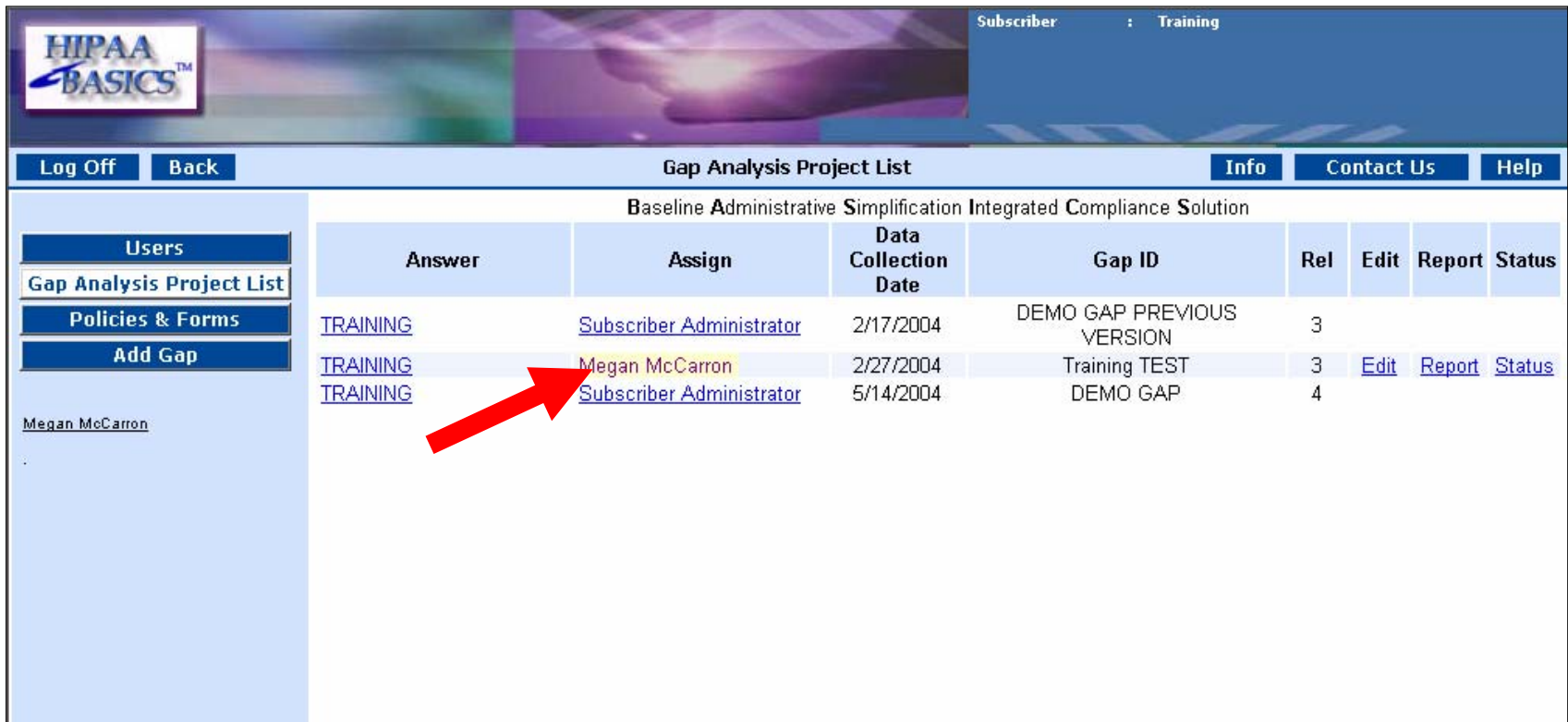
---

- Once a user's assignments have been reassigned to another team member, the user can be removed from the team
- If their assignments have not been reassigned, all assignments will default to the Lead User of the assessment

## Lead User Functions

# Remove Users from a Team (2 of 4)

1. Select the [Assign](#) link for your Gap Analysis



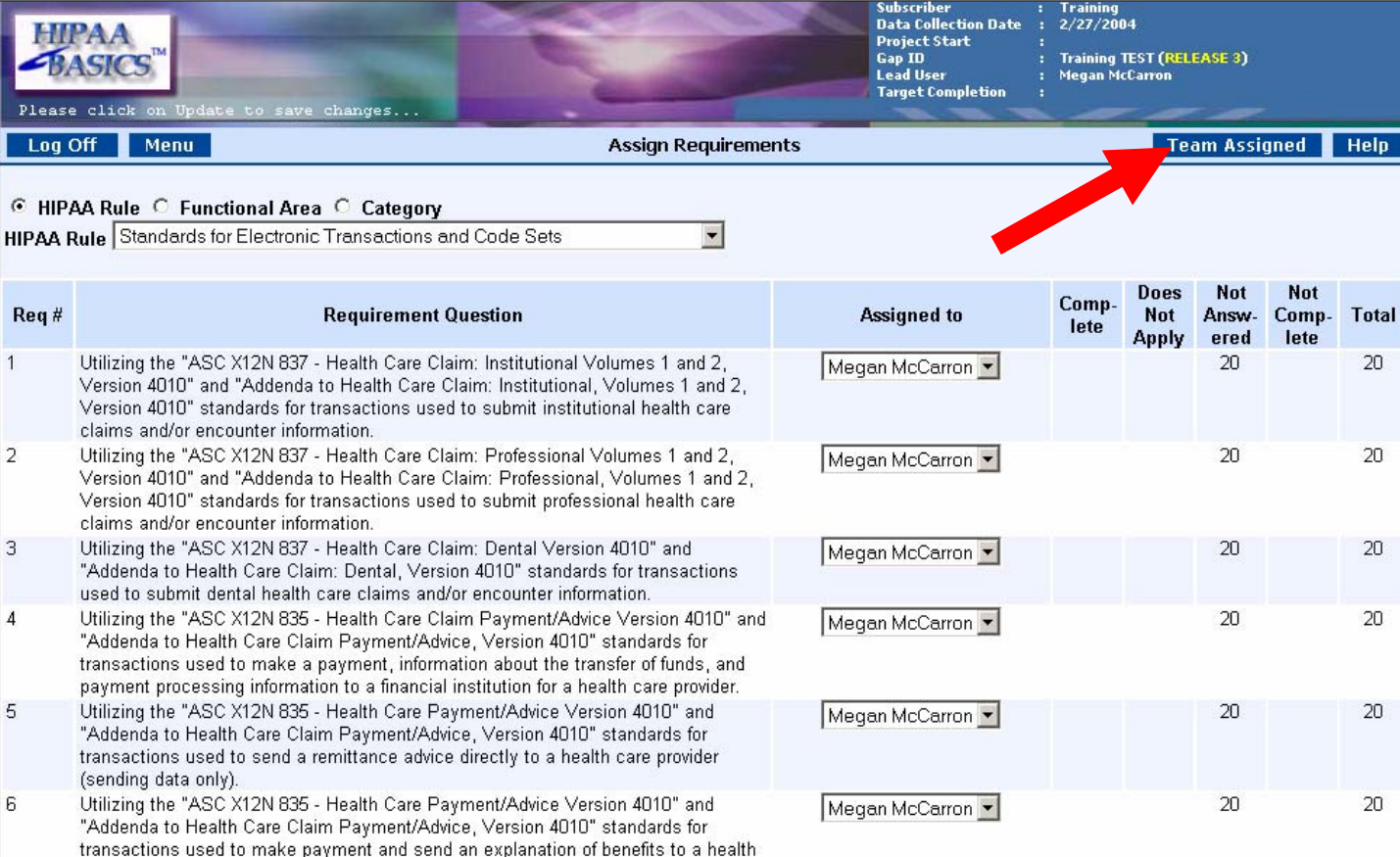
The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo on the left and a subscriber selection dropdown on the right, currently set to "Training". Below the header is a navigation bar with "Log Off" and "Back" buttons on the left, and "Info", "Contact Us", and "Help" buttons on the right. The main content area is titled "Gap Analysis Project List" and includes a sub-header "Baseline Administrative Simplification Integrated Compliance Solution". On the left side, there is a sidebar menu with "Users", "Gap Analysis Project List", "Policies & Forms", and "Add Gap" buttons. Below the menu, the name "Megan McCarron" is listed. The main table displays a list of gap analysis projects with columns: Answer, Assign, Data Collection Date, Gap ID, Rel, Edit, Report, and Status. A red arrow points to the "Assign" column for the second row, which lists "Megan McCarron".

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	Megan McCarron	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			

## Lead User Functions

# Remove Users from a Team (3 of 4)

## 2. Click on the Team Assigned button



The screenshot shows the HIPAA Basics application interface. At the top right, there is a status bar with the following information:

- Subscriber : Training
- Data Collection Date : 2/27/2004
- Project Start :
- Gap ID : Training TEST (RELEASE 3)
- Lead User : Megan McCarron
- Target Completion :

Below the status bar, there is a navigation bar with the following buttons: Log Off, Menu, Assign Requirements, Team Assigned, and Help. A red arrow points to the 'Team Assigned' button.

Below the navigation bar, there is a section for selecting filters:

- ☒ HIPAA Rule ☐ Functional Area ☐ Category
- HIPAA Rule: Standards for Electronic Transactions and Code Sets

Below the filters, there is a table with the following columns: Req #, Requirement Question, Assigned to, Complete, Does Not Apply, Not Answered, Not Complete, and Total.

Req #	Requirement Question	Assigned to	Complete	Does Not Apply	Not Answered	Not Complete	Total
1	Utilizing the "ASC X12N 837 - Health Care Claim: Institutional Volumes 1 and 2, Version 4010" and "Addenda to Health Care Claim: Institutional, Volumes 1 and 2, Version 4010" standards for transactions used to submit institutional health care claims and/or encounter information.	Megan McCarron			20		20
2	Utilizing the "ASC X12N 837 - Health Care Claim: Professional Volumes 1 and 2, Version 4010" and "Addenda to Health Care Claim: Professional, Volumes 1 and 2, Version 4010" standards for transactions used to submit professional health care claims and/or encounter information.	Megan McCarron			20		20
3	Utilizing the "ASC X12N 837 - Health Care Claim: Dental Version 4010" and "Addenda to Health Care Claim: Dental, Version 4010" standards for transactions used to submit dental health care claims and/or encounter information.	Megan McCarron			20		20
4	Utilizing the "ASC X12N 835 - Health Care Claim Payment/Advice Version 4010" and "Addenda to Health Care Claim Payment/Advice, Version 4010" standards for transactions used to make a payment, information about the transfer of funds, and payment processing information to a financial institution for a health care provider.	Megan McCarron			20		20
5	Utilizing the "ASC X12N 835 - Health Care Payment/Advice Version 4010" and "Addenda to Health Care Claim Payment/Advice, Version 4010" standards for transactions used to send a remittance advice directly to a health care provider (sending data only).	Megan McCarron			20		20
6	Utilizing the "ASC X12N 835 - Health Care Payment/Advice Version 4010" and "Addenda to Health Care Claim Payment/Advice, Version 4010" standards for transactions used to make payment and send an explanation of benefits to a health	Megan McCarron			20		20

## Lead User Functions

# Remove Users from a Team (4 of 4)

3. Check the “Delete” box for the team member that you want to delete
4. Click on the **Delete** button

**HIPAA BASICS™**

Please click on Update to save changes...

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :

Log Off Menu Team Assigned Assign Requirement Help

Lead User: Megan McCarron

Check to Delete	Team Members
<input type="checkbox"/>	Alec Karry
<input type="checkbox"/>	Gail Brown
<input type="checkbox"/>	Jane Doe
<input type="checkbox"/>	Karla Cisneros
<input checked="" type="checkbox"/>	Megan McCarron
<input type="checkbox"/>	Rommie Misleh

Add Delete

# Communication with Subscriber Administrator in Inactivating User

---

- Once a user has been removed from all involved teams and no longer needs access to HIPAA BASICS™, the Lead User must inform their Subscriber Administrator
- The Subscriber Administrator will then inactivate the user account following the provided guidelines
- The user will no longer be able to access the application
- Users cannot be deleted from the system

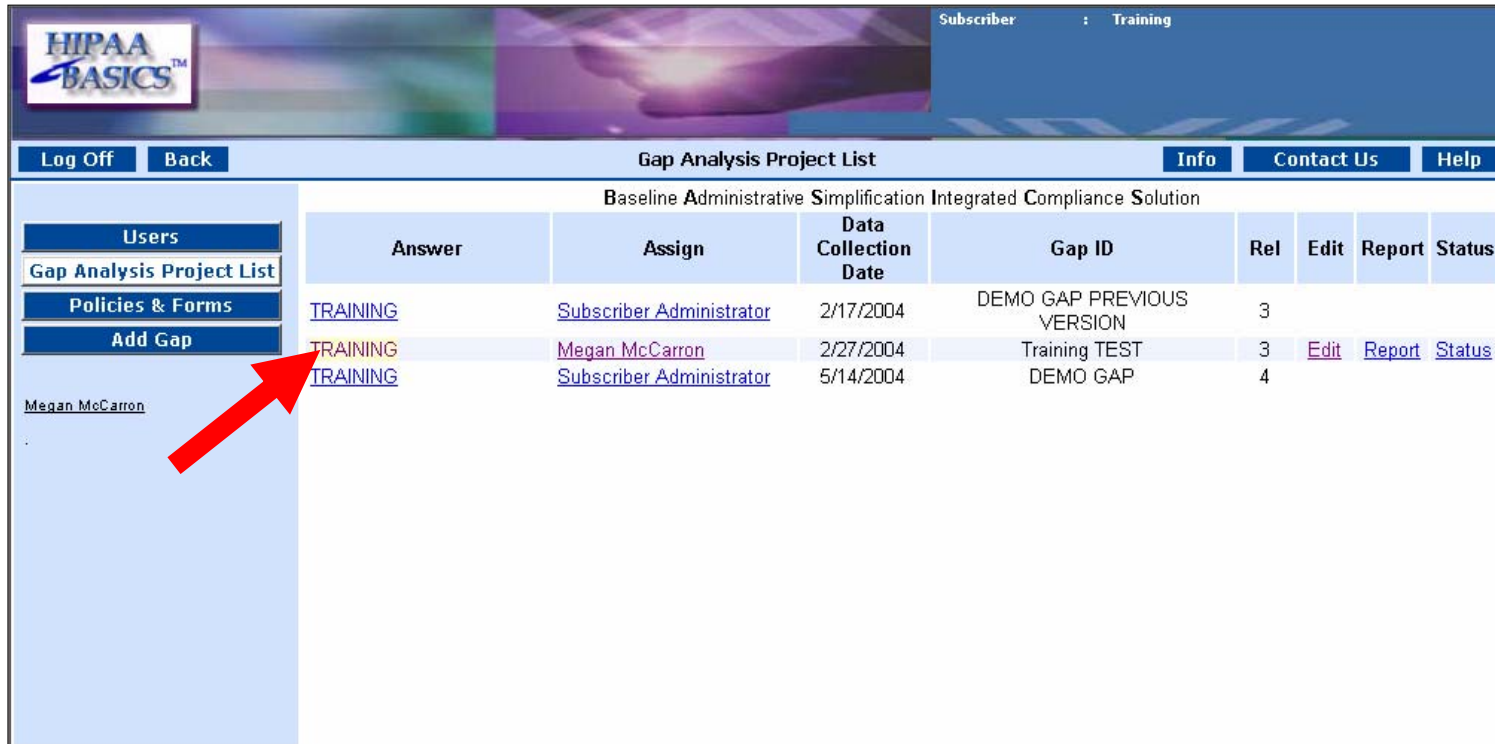
# View User Assignments (1 of 5)

---

- You can view user assignments for any user within your Gap Analysis
- User assignments can be viewed two different ways:
  - “Assigned To” allows you to see all of the assignments of a team member
  - “Requirement Question” allows you to review the progress of a particular requirement or team member

# View User Assignments (2 of 5)

1. Select the [Answer](#) link on the Gap Analysis Project List screen



The screenshot displays the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo on the left and a 'Subscriber : Training' indicator on the right. Below the header is a navigation bar with buttons for 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The main content area is divided into a left sidebar and a central table. The sidebar contains links for 'Users', 'Gap Analysis Project List', 'Policies & Forms', and 'Add Gap', along with the name 'Megan McCarron'. The central table, titled 'Baseline Administrative Simplification Integrated Compliance Solution', has columns for 'Answer', 'Assign', 'Data Collection Date', 'Gap ID', 'Rel', 'Edit', 'Report', and 'Status'. A red arrow points to the 'Answer' link in the first row of the table.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			



## Lead User Functions

# View User Assignments (3 of 5)

- Sort by HIPAA Rule, Functional Area, or Category
- From the “Assigned To” drop down box, select the user whose assignments you want to view

**HIPAA BASICS™**

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :

Log Off Menu Back Requirements and Gap Answers Help

☒ HIPAA Rule ☐ Functional Area ☐ Category

Security Standards

Assigned to: Jane Doe

#	Requirement Question
108	A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of
109	A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities
110	A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the sec
113	Policies and procedures to ensure that all members of the workforce have appropriate access to electronic protected health information, and to prevent those workforce members who do not have access from obtaining access to electronic protected health information are implemented.
114	Procedures for the Authorization and/or Supervision of workforce members who work with electronic protected health information or in locations where it might be accessed have been implemented (A).
115	Workforce Clearance Procedures to determine that the access of a workforce member to electronic protected health information is appropriate have been implemented (A).
118	Policies and procedures that Isolate Health Care Clearinghouse Functions, i.e., protect the electronic protected health information of a health care clearinghouse that is part of a larger organization from unauthorized access by the larger organization, have been implemented by the clearinghouse (R).
145	Disposal policies and procedures to address the final disposition of electronic protected health information, and/or the hardware or electronic media on which it is stored are implemented (R).
146	Media Re-use procedures for removal of electronic protected health information from electronic media before the media are made available for re-use are implemented (R).
147	To ensure Accountability, a record of the movements of hardware and electronic media and any person responsible, is maintained (A).
148	Data Backup and Storage through the creation of a retrievable, exact copy of electronic protected health information, when needed, before movement of equipment, is in place (A).

Access Controls in form of technical policies and procedures for electronic information systems that maintain electronic protected health information to allow access

# View User Assignments (4 of 5)

- To review the progress of a particular requirement or team member
- Select the **Assign** link on the Gap Analysis Project List screen

Subscriber : Training

Log Off Back Gap Analysis Project List Info Contact Us Help

Baseline Administrative Simplification Integrated Compliance Solution


Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	Megan McCarron	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			

[Megan McCarron](#)

## Lead User Functions

# View User Assignments (5 of 5)

## 2. Sort by HIPAA Rule, Functional Area, or Category



Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :  
Please click on Update to save changes...

Log OffMenuAssign RequirementsTeam AssignedHelp

☒ HIPAA Rule ☐ Functional Area ☐ Category

HIPAA Rule Security Standards  ☒ Part 1 ☐ Part 2

Req #	Requirement Question	Assigned to	Complete	Does Not Apply	Not Answered	Not Complete	Total
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.	Megan McCarron <input type="button" value="v"/>	5		15		20
108	A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).	Jane Doe <input type="button" value="v"/>	19				19
109	A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).	Jane Doe <input type="button" value="v"/>	14				14
110	A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).	Jane Doe <input type="button" value="v"/>			7		7
111	Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking reports, are implemented (R).	Karla Cisneros <input type="button" value="v"/>			15		15
112	A Security Official who is responsible for the development and implementation of the policies and procedures required by the Rule has been identified.	Karla Cisneros <input type="button" value="v"/>	11				11
113	Policies and procedures to ensure that all members of the workforce have appropriate access to electronic protected health information, and to prevent those workforce members who do not have access from obtaining access to electronic protected health information are implemented.	Jane Doe <input type="button" value="v"/>	3		15		18
114	Procedures for the Authorization and/or Supervision of workforce members who work with electronic protected health information or in locations where it might be accessed have been implemented (A).	Jane Doe <input type="button" value="v"/>			9		9
115	Workforce Clearance Procedures to determine that the access of a workforce member to electronic protected health information is appropriate have been	Jane Doe <input type="button" value="v"/>			11		11

# Edit Gap Analysis Details (1 of 3)

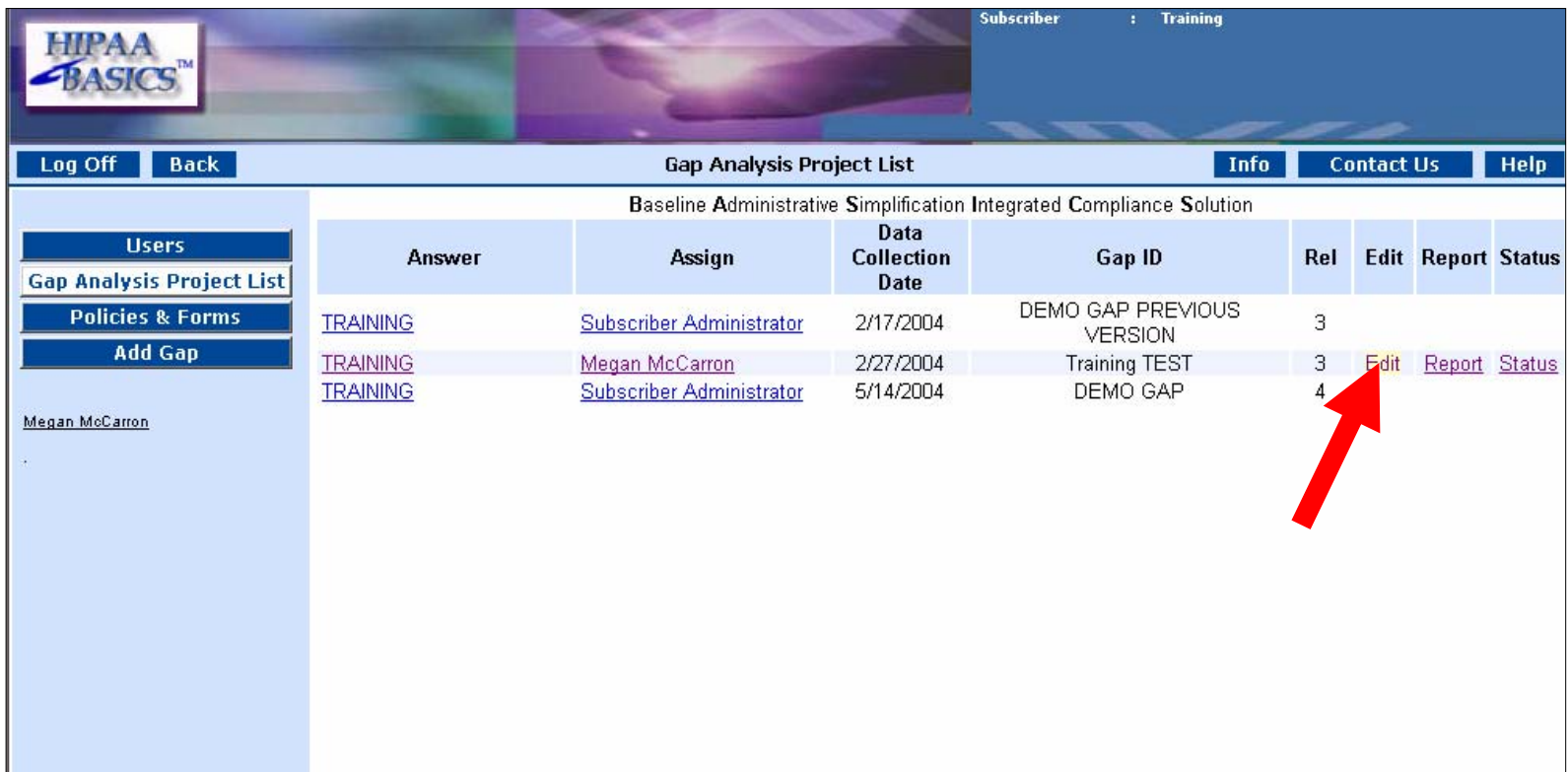
---

- The Lead User of a Gap Analysis can edit the details of any of their Gap Analyses
- Data that can be edited include:
  - Target completion date
  - Date completed
  - Client notes
  - Internal notes

## Lead User Functions

# Edit Gap Analysis Details (2 of 3)

1. Select the [Edit](#) link from the Gap Analysis Project List screen



The screenshot shows the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo and a subscriber selection dropdown set to 'Training'. Below the header is a navigation bar with 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help' buttons. A left sidebar contains a menu with 'Users', 'Gap Analysis Project List', 'Policies & Forms', and 'Add Gap'. The main content area displays a table titled 'Baseline Administrative Simplification Integrated Compliance Solution' with columns: Answer, Assign, Data Collection Date, Gap ID, Rel, Edit, Report, and Status. The table contains three rows of data. A red arrow points to the 'Edit' link in the third row of the table.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			



# Edit Gap Analysis Details (3 of 3)

2. Edit appropriate Gap Analysis details
3. Click on the **Update** button

**HIPAA BASICS™**

Please click on Add/Update to save changes...

[Log Off](#) [Back](#) **Edit Gap Analysis** [Help](#)

Data Collection Date (mm/dd/yyyy)

Target Completion (mm/dd/yyyy)

Project Start (mm/dd/yyyy)

Gap ID

Gap Active ☒

Date Completed (mm/dd/yyyy)

Notes for Client

Internal

[Project Plan](#) [Project Plan XLS](#) [Reassign User Assignments](#) [Upgrade to New Release](#) [Update](#)

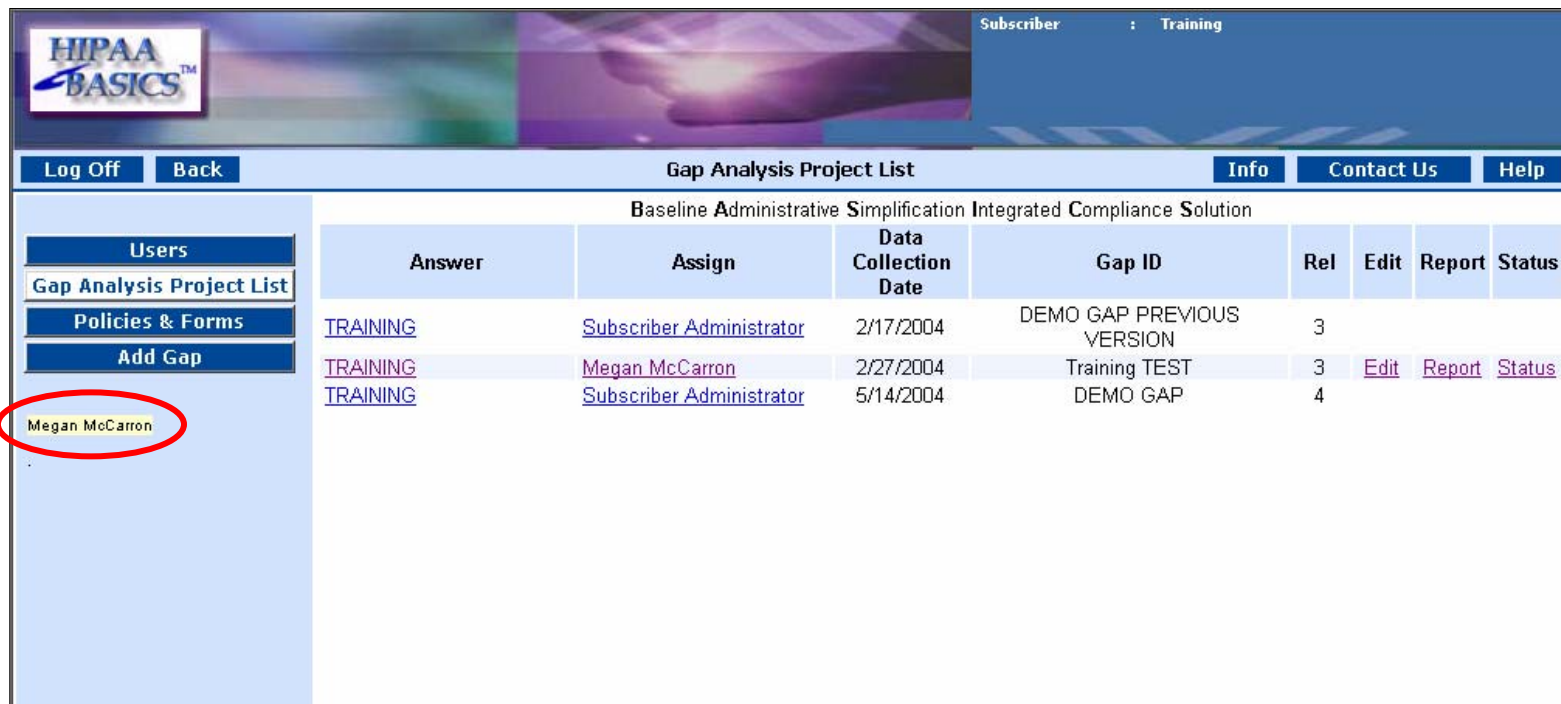
# Change Password (1 of 4)

---

- As a Lead User you can now change your password on your profile
  - This ensures that only you know your password
- This is a new function

# Change Password (2 of 4)

1. Select your name on the left side of the Gap Analysis Project List screen



The screenshot shows the HIPAA BASICS web application interface. At the top, there's a header with the logo and a 'Subscriber : Training' indicator. Below the header is a navigation bar with 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The left sidebar contains a menu with 'Users', 'Gap Analysis Project List', 'Policies & Forms', and 'Add Gap'. The 'Users' section is expanded, showing a list of users, with 'Megan McCarron' highlighted and circled in red. The main content area displays a table titled 'Baseline Administrative Simplification Integrated Compliance Solution'.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			



## Lead User Functions

# Change Password (3 of 4)

- Click on the **Change Password** button from the User Detail screen

The screenshot shows the 'User Detail' screen in the HIPAA BASICS system. The interface includes a header with the 'HIPAA BASICS' logo and navigation buttons for 'Log Off', 'Back', and 'Help'. The main content area is divided into two columns of user information. The left column contains fields for personal details: Title (dropdown), First Name (Megan), Middle Name, Last Name (McCarron), Suffix (dropdown), Display as (Megan McCarron), Address, City, State (dropdown), Country, and Zip. The right column contains fields for account and contact information: User Active (checked), WWWeb, E-Mail (megan.mccarron@tma.osd.mil), Phone, Fax, 800, UserId (mmccarron), Level (Lead User), and Notes. At the bottom center, a red arrow points to a blue button labeled 'Change Password'.

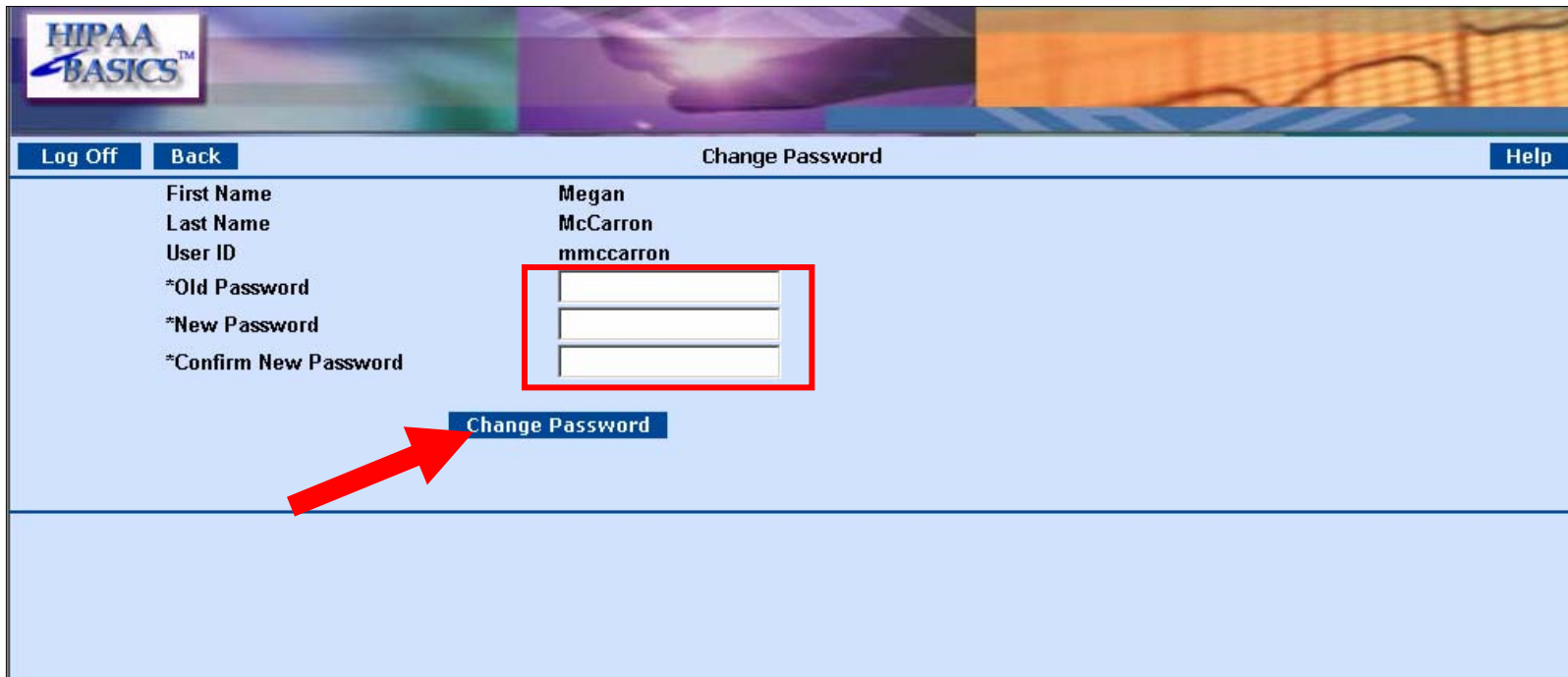
User Detail	
Title	<input type="text"/>
*First Name	Megan
Middle Name	<input type="text"/>
*Last Name	McCarron
Suffix	<input type="text"/>
*Display as	Megan McCarron
Address	<input type="text"/>
Address	<input type="text"/>
City	<input type="text"/>
State	<input type="text"/>
Country	<input type="text"/>
Zip	<input type="text"/>
User Active	<input checked="" type="checkbox"/>
WWWeb	<input type="text"/>
*E-Mail	megan.mccarron@tma.osd.mil
Phone	<input type="text"/>
Fax	<input type="text"/>
800	<input type="text"/>
*UserId	mmccarron
Level	Lead User
Notes	<input type="text"/>

**Change Password**

## Lead User Functions

# Change Password (4 of 4)

3. Enter your Old Password
4. Create New Password and Confirm New Password
5. Click on the **Change Password** button



The screenshot shows a web interface for "HIPAA BASICS™". At the top, there is a navigation bar with "Log Off", "Back", "Change Password", and "Help" buttons. Below this, the user's profile information is displayed: First Name (Megan), Last Name (McCarron), and User ID (mmccarron). The password change section includes three input fields: "\*Old Password", "\*New Password", and "\*Confirm New Password". These fields are grouped by a red rectangular box. Below the input fields is a blue button labeled "Change Password", which is pointed to by a large red arrow.

First Name	Megan
Last Name	McCarron
User ID	mmccarron
*Old Password	<input type="password"/>
*New Password	<input type="password"/>
*Confirm New Password	<input type="password"/>

**Change Password**

# Lead User Summary

---

- You should now be able to:
  - Obtain a Lead User account and login as a Lead User
  - Identify the links in the Gap Analysis Project list
  - Create a Gap Analysis
  - Assign members to your assessment team
  - Answer requirements
  - Create baseline assessment
  - Reassign user assignments
  - Remove and Inactivate team members
  - View user assignments
  - Edit Gap Analysis details
  - Change password

# **Compliance Assessment Outputs and Implementation**

# Compliance Assessment Outputs and Implementation Objectives

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- Upon completion of this lesson, you will be able to:
  - Generate Compliance Assessment outputs, to include:
    - Gap Analysis Report
    - Graphical Status Report
    - Microsoft and Excel Project Plans
  - Access customizable Policies and Forms within HIPAA BASICS™

# Compliance Assessment Outputs and Implementation

## Gap Analysis Report

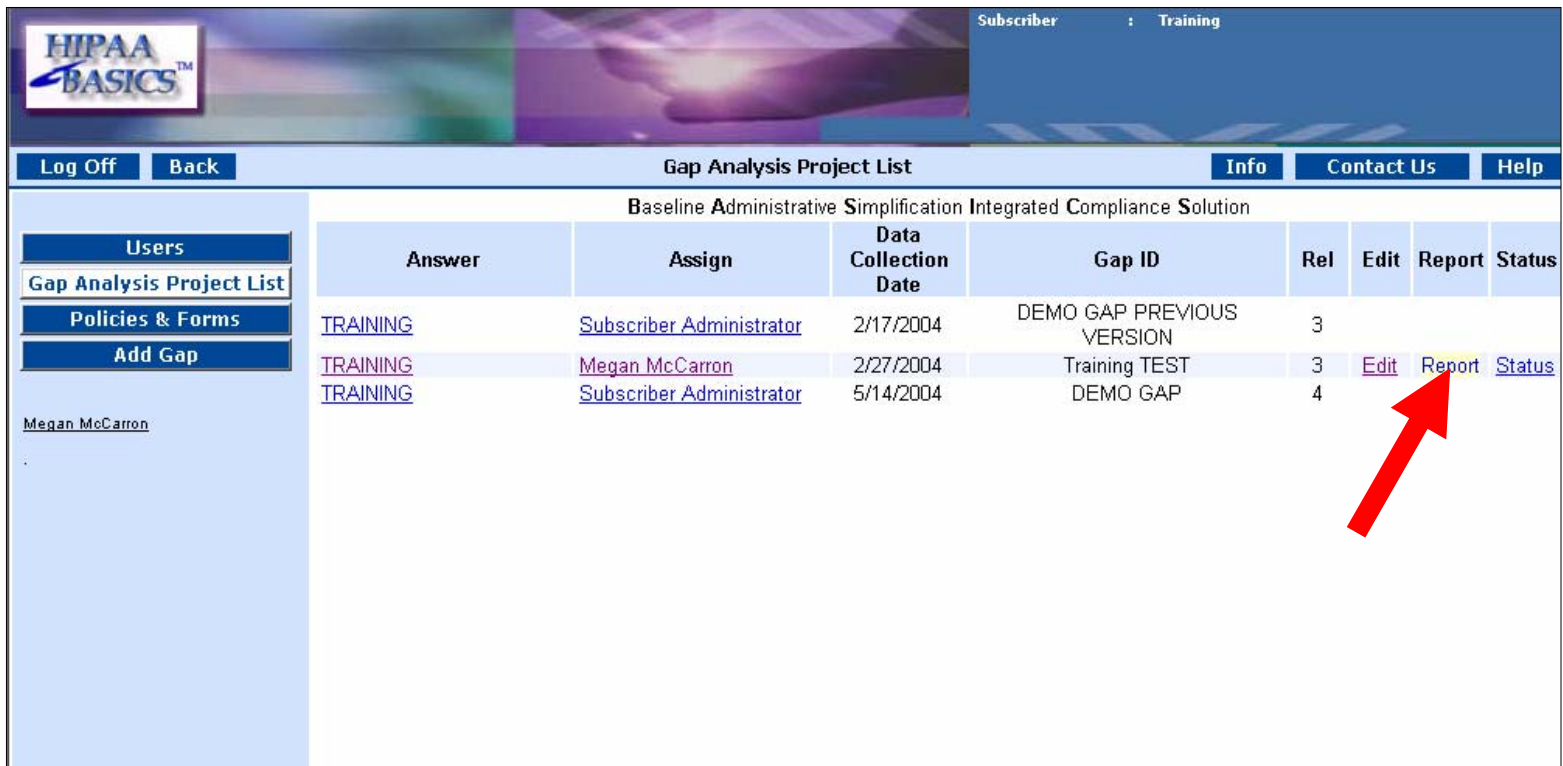
---

- The Gap Analysis report can be filtered by:
  - HIPAA Rule
  - Functional Area
  - Category
  - Requirements
  - Combinations
- You can alter the style of the report by excluding components of the report
  - Full detailed
  - Executive summary
- Output formats:
  - Report, Printable Report, or Printable Pdf

# Compliance Assessment Outputs and Implementation

## Generate Gap Analysis Report (1 of 4)

1. Select the [Report](#) link from the Gap Analysis Project List screen




The screenshot displays the HIPAA BASICS web application interface. At the top, the logo "HIPAA BASICS™" is visible on the left, and "Subscriber : Training" is on the right. Below the header, there are navigation buttons: "Log Off", "Back", "Info", "Contact Us", and "Help". The main content area is titled "Gap Analysis Project List" and "Baseline Administrative Simplification Integrated Compliance Solution". On the left side, there is a sidebar with links: "Users", "Gap Analysis Project List" (highlighted), "Policies & Forms", "Add Gap", and a user profile for "Megan McCarron". The main table lists three gap analysis projects. A red arrow points to the "Report" link in the second row.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			

# Compliance Assessment Outputs and Implementation

## Generate Gap Analysis Report (2 of 4)

### 2. Filter the report by HIPAA Rule, Functional Area, Category, Requirements, or Combinations



**Subscriber** : Training  
**Data Collection Date** : 2/27/2004  
**Project Start** :  
**Gap ID** : Training TEST (RELEASE 3)  
**Lead User** : Megan McCarron  
**Target Completion** :

[Log Off](#) [Menu](#) [Back](#) **Report** [Help](#)

**Lead User:** Megan McCarron

☐ HIPAA Rule ☐ Functional Area ☐ Category ☐ Requirements ☒ Combinations  
☒ HIPAA Rule ☐ Functional Area ☐ Category

#	Requirement Question	<input checked="" type="checkbox"/> Select all
107	A Security Management Process is implemented through policies and procedures to prevent, detect, contain, and correct security violations.	<input checked="" type="checkbox"/>
108	A Risk Analysis to assess potential risks and vulnerabilities to the confidentiality, integrity and availability of electronic PHI was conducted (R).	<input checked="" type="checkbox"/>
109	A Risk Management Process that implements security measures sufficient to reduce risks and vulnerabilities to a reasonable and appropriate level is in place (R).	<input checked="" type="checkbox"/>
110	A Sanction Policy to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures has been developed (R).	<input checked="" type="checkbox"/>
111	Information System Activity Review procedures to regularly review records of system activity, such as audit logs, access reports, and security incident tracking reports, are implemented (R).	<input checked="" type="checkbox"/>
112	A Security Official who is responsible for the development and implementation of the policies and procedures required by the Rule has been identified.	<input checked="" type="checkbox"/>
113	Policies and procedures to ensure that all members of the workforce have appropriate access to electronic protected health information, and to prevent those workforce members who do not have access from obtaining access to electronic protected health information are implemented.	<input checked="" type="checkbox"/>
114	Procedures for the Authorization and/or Supervision of workforce members who work with electronic protected health information or in locations where it might be accessed have been implemented (A).	<input checked="" type="checkbox"/>



# Compliance Assessment Outputs and Implementation

## Generate Gap Analysis Report (3 of 4)

3. Make report style selections using the checkboxes at the bottom of the Report screen
4. Click on the **Report** button

**HIPAA BASICS™**

Subscriber : Training  
Data Collection Date : 2/27/2004  
Project Start :  
Gap ID : Training TEST (RELEASE 3)  
Lead User : Megan McCarron  
Target Completion :  
Report

Log Off Menu Back Help

Lead User: Megan McCarron

☒ HIPAA Rule ☐ Functional Area ☐ Category ☐ Requirements ☐ Combinations

Standards for Electronic Transactions and Code Sets  
National Standard Health Care Provider Identifier  
**Security Standards**  
Standards for the Privacy of Individually Identifiable Health Information  
National Standard Employer Identifier  
National Standard Health Plan Identifier

☒ Include Intro ☒ Include Authority ☒ Include Document Source ☒ Include Reg Req  
☒ Include Req Test ☒ Include Category ☒ Include Requirement Note ☒ Include Task Note

Report Printable Report Printable ReportPdf

# Compliance Assessment Outputs and Implementation

## Generate Gap Analysis Report (4 of 4)

### HIPAA Gap Analysis Report

#### TRAINING .

##### Lead User

Megan McCarron

##### Data Collection Date

2/27/2004

#### HIPAA Rule: Security Standards

This rule establishes standards for the security of electronic protected health information to be implemented by health plans, health care clearing houses, and certain health care providers. These standards cover electronic protected health information at rest and during transmission and are used to develop safeguards to ensure the confidentiality, integrity, and availability of all electronic protected health information the covered entity creates, receives, maintains or transmits. The Requirements in HIPAA BASICS(tm) refer to the Standards and Implementation Specifications of the regulation, the associated Tasks reflect suggested best practices in security.

#### V Management of Personnel

No.	Requirement-Question
112 Compliance	A Security Official who is responsible for the development and implementation of the policies and procedures required by the Rule has been identified.
<i>Regulatory Requirement :</i>	Identify the Security Official who is responsible for the development and implementation of the policies and procedures required by the Rule.
<i>Regulatory Authority :</i>	Identify the Security Official who is responsible for the development and implementation of the policies and procedures required by this subpart for the entity. [§164.308(a)(2)]
<i>Documentation Source :</i>	Policy and Procedure
<i>Requirement Intro :</i>	A required implementation standard under the Administrative Safeguards involves the assignment of a Security Official. The Assigned Security Responsibility must rest with one individual to ensure accountability within each covered entity. More than one individual may be given specific security responsibilities, especially within a large organization, but a single individual must be designated as having the overall final responsibility for the security of the entity's electronic protected health information. The same person could fill the role for both security and privacy.
<i>Requirement Note :</i>	Completed on 3/31/04

#### Task ID Requirement Test

#### Status

01	The administrative policies and procedures used to meet this requirement are documented.	Complete
	<i>Note: Security Official PD</i>	
02	The selection criteria for the Security Official are identified. [OPTIONAL]	Complete
	<i>Note: selection criteria identified</i>	

## Compliance Assessment Outputs and Implementation

# Graphical Status Report

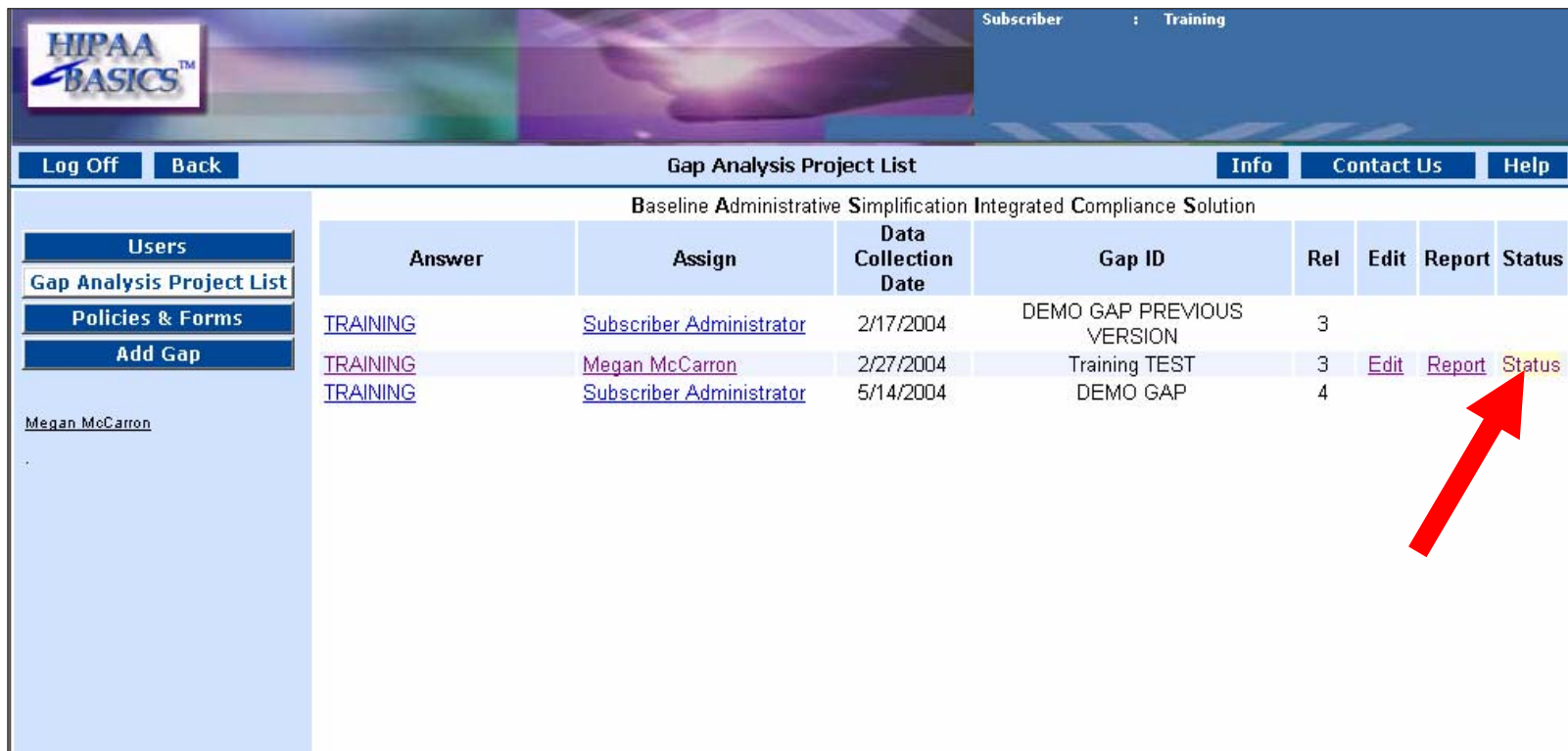
---

- Displays compliance in bar graph format and includes percentages
- Can be filtered by:
  - HIPAA Rule
  - Functional Area
  - Category
  - Requirements
  - All
- Graphical Status reports cannot be saved, but can be printed from your browser

## Compliance Assessment Outputs and Implementation

# Generate Graphical Status Report (1 of 3)

1. Select the [Status](#) link from the Gap Analysis Project List screen



The screenshot displays the HIPAA BASICS web application interface. At the top, the 'Subscriber' is set to 'Training'. The main navigation bar includes 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. The left sidebar contains links for 'Users', 'Gap Analysis Project List', 'Policies & Forms', and 'Add Gap', with 'Megan McCarron' listed under 'Users'. The main content area shows a table titled 'Baseline Administrative Simplification Integrated Compliance Solution'.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			

A red arrow points to the 'Status' link in the second row of the table.

## Compliance Assessment Outputs and Implementation

# Generate Graphical Status Report (2 of 3)

2. Filter the report by HIPAA Rule, Functional Area, Category, Requirements, or All
3. Click on the **Report** button

**HIPAA BASICS™**

Subscriber	: Training
Data Collection Date	: 2/27/2004
Project Start	:
Gap ID	: Training TEST (RELEASE 3)
Lead User	: Megan McCarron
Target Completion	:

**Log Off** **Menu** **Back** **Status** **Help**

Lead User: **Megan McCarron**

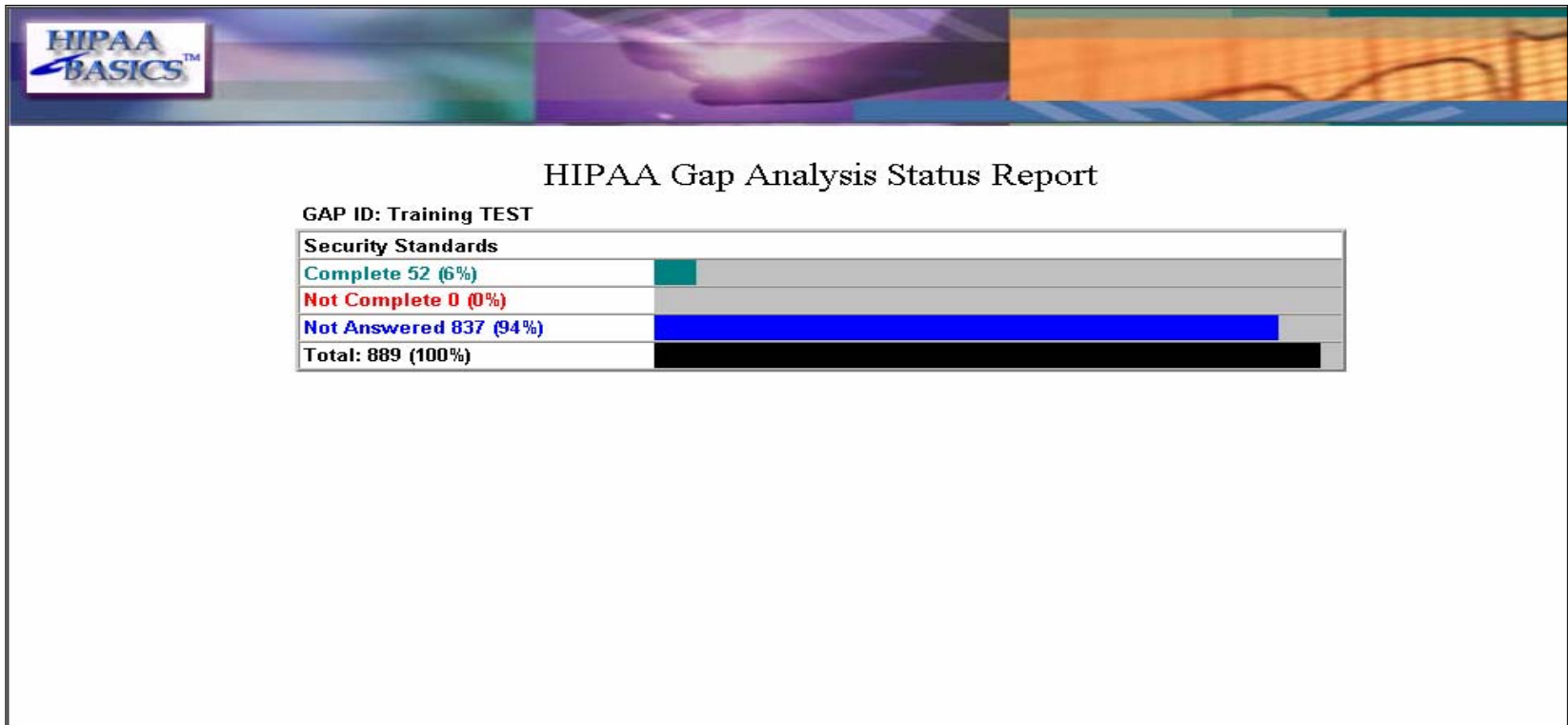
☒ **HIPAA Rule** ☐ **Functional Area** ☐ **Category** ☐ **Requirements** ☐ **All**

- Standards for Electronic Transactions and Code Sets
- National Standard Health Care Provider Identifier
- Security Standards**
- Standards for the Privacy of Individually Identifiable Health Information
- National Standard Employer Identifier
- National Standard Health Plan Identifier

**Report**

## Compliance Assessment Outputs and Implementation

# Generate Graphical Status Report (3 of 3)



# Compliance Assessment Outputs and Implementation

## Project Plans

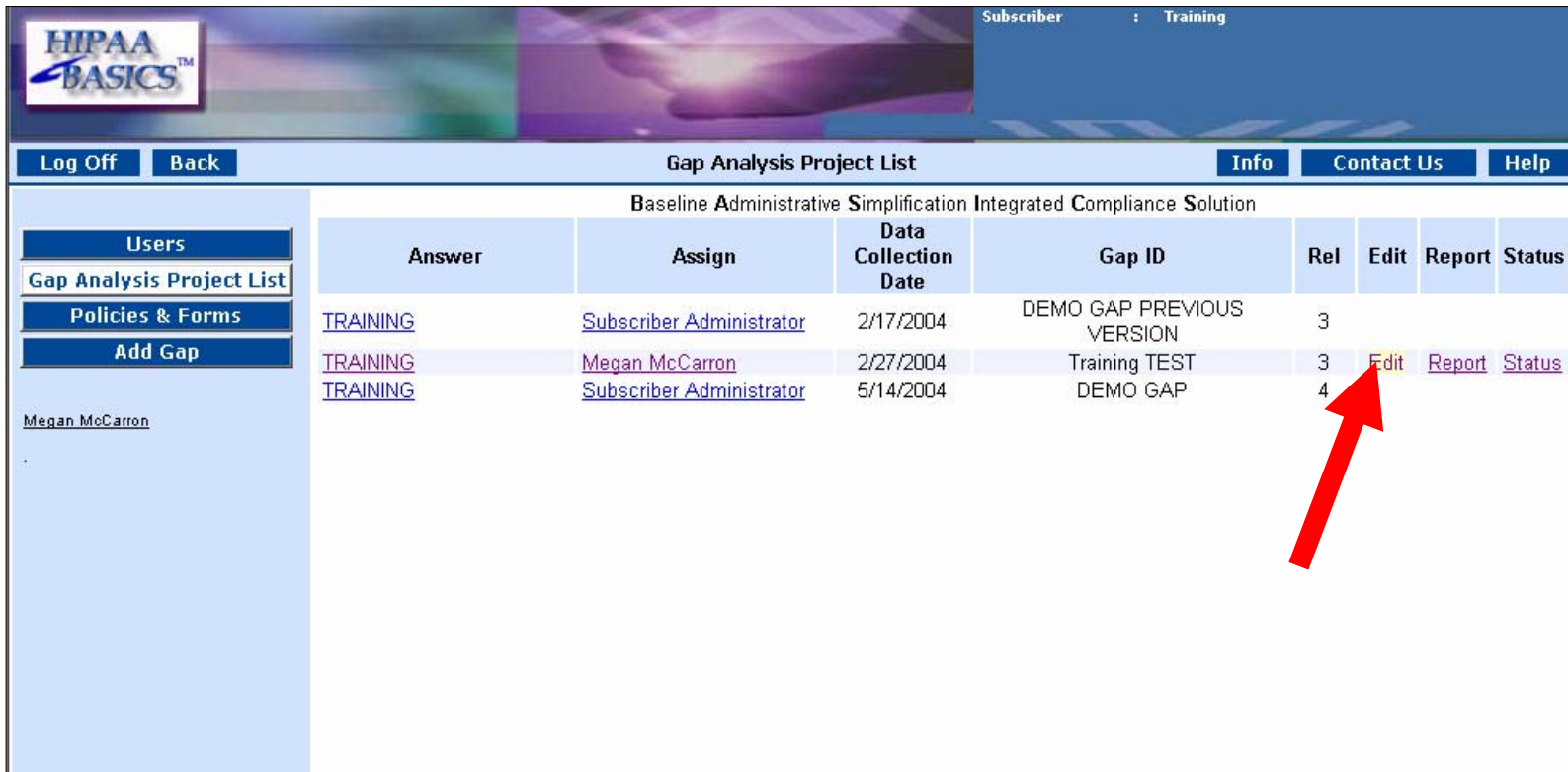
---

- A Project Plan can be generated to help guide implementation efforts
- It is downloaded from HIPAA BASICS™ and contains all of the data entered by the users during an assessment
  - Average hours associated with each task
  - Adjustable timeline to map out projected completion
  - “Not Answered” items are converted to “Not Complete”
- A Project Plan can be downloaded as a Microsoft Project or Excel file
- Tasks to be accomplished are supported by Policies and Forms

# Compliance Assessment Outputs and Implementation

## Generate Project Plan (1 of 6)

1. Select the [Edit](#) link from the Gap Analysis Project List screen



The screenshot shows the HIPAA BASICS web application interface. The top header includes the logo and a subscriber selection dropdown set to 'Training'. Below the header is a navigation bar with 'Log Off', 'Back', 'Gap Analysis Project List', 'Info', 'Contact Us', and 'Help'. A left sidebar contains links for 'Users', 'Gap Analysis Project List' (highlighted), 'Policies & Forms', 'Add Gap', and a user profile for 'Megan McCarron'. The main content area displays a table titled 'Baseline Administrative Simplification Integrated Compliance Solution' with columns: Answer, Assign, Data Collection Date, Gap ID, Rel, Edit, Report, and Status. Three rows are listed, with the second row ('Training TEST') having an 'Edit' link highlighted by a red arrow.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			



# Compliance Assessment Outputs and Implementation

## Generate Project Plan (2 of 6)

2. Click on the **Project Plan** or **Project Plan XLS** button

**HIPAA BASICS™**

Please click on Add/Update to save changes...

**Log Off** **Back** **Edit Gap Analysis** **Help**

Data Collection Date (mm/dd/yyyy) 2/27/2004

Target Completion (mm/dd/yyyy)

Project Start (mm/dd/yyyy)

Gap ID Training TEST

Gap Active ☒

Date Completed (mm/dd/yyyy)

Notes for Client

Internal

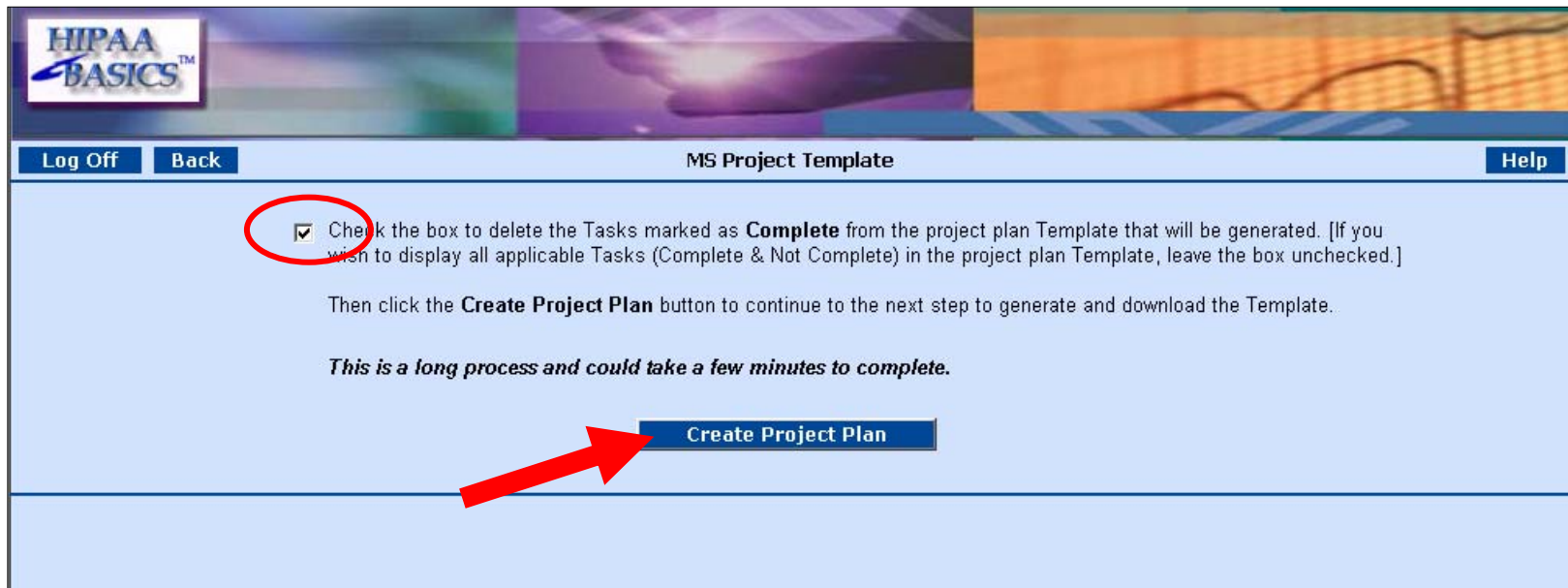
please look at this gap

**Project Plan** **Project Plan XLS** **Reassign User Assignments** **Upgrade to New Release** **Update**

# Compliance Assessment Outputs and Implementation

## Generate Project Plan (3 of 6)

3. Choose whether or not you want to include the tasks that are “Complete”
4. Click on the **Create Project Plan** button



The screenshot shows a web interface for generating a project plan. At the top left is the 'HIPAA BASICS™' logo. Below it is a navigation bar with 'Log Off', 'Back', 'MS Project Template', and 'Help' buttons. The main content area has a checkbox checked, which is circled in red. The text next to the checkbox explains that checking it will delete tasks marked as 'Complete' from the generated project plan template. Below this text, it instructs the user to click the 'Create Project Plan' button. A red arrow points to this button. A note at the bottom states that the process is long and could take a few minutes.

**HIPAA BASICS™**

Log Off Back MS Project Template Help

☒ Check the box to delete the Tasks marked as **Complete** from the project plan Template that will be generated. [If you wish to display all applicable Tasks (Complete & Not Complete) in the project plan Template, leave the box unchecked.]

Then click the **Create Project Plan** button to continue to the next step to generate and download the Template.

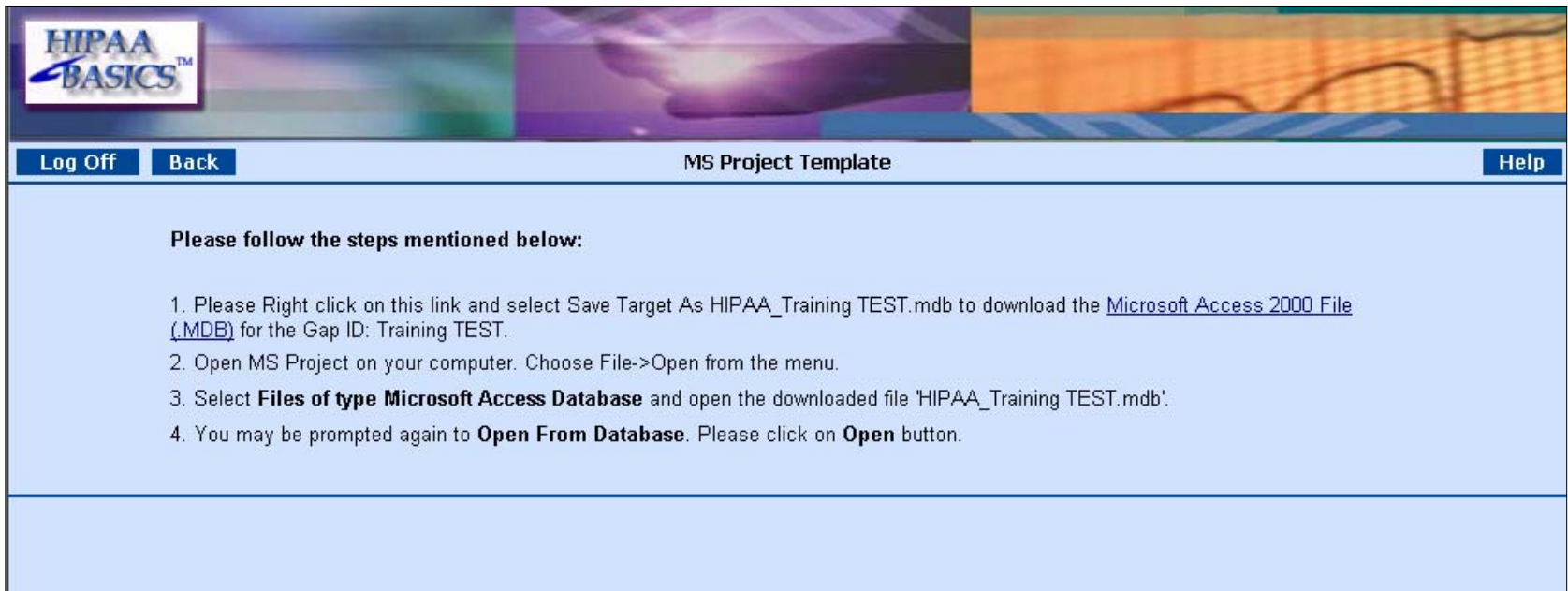
*This is a long process and could take a few minutes to complete.*

**Create Project Plan**

# Compliance Assessment Outputs and Implementation

## Generate Project Plan (4 of 6)

### 5. Follow the instructions for downloading the project plan



The screenshot shows a web application interface for "HIPAA BASICS™". At the top, there is a header bar with a logo on the left and a navigation bar with "Log Off", "Back", "MS Project Template", and "Help" buttons. Below the header, the main content area has a light blue background and contains the following text:

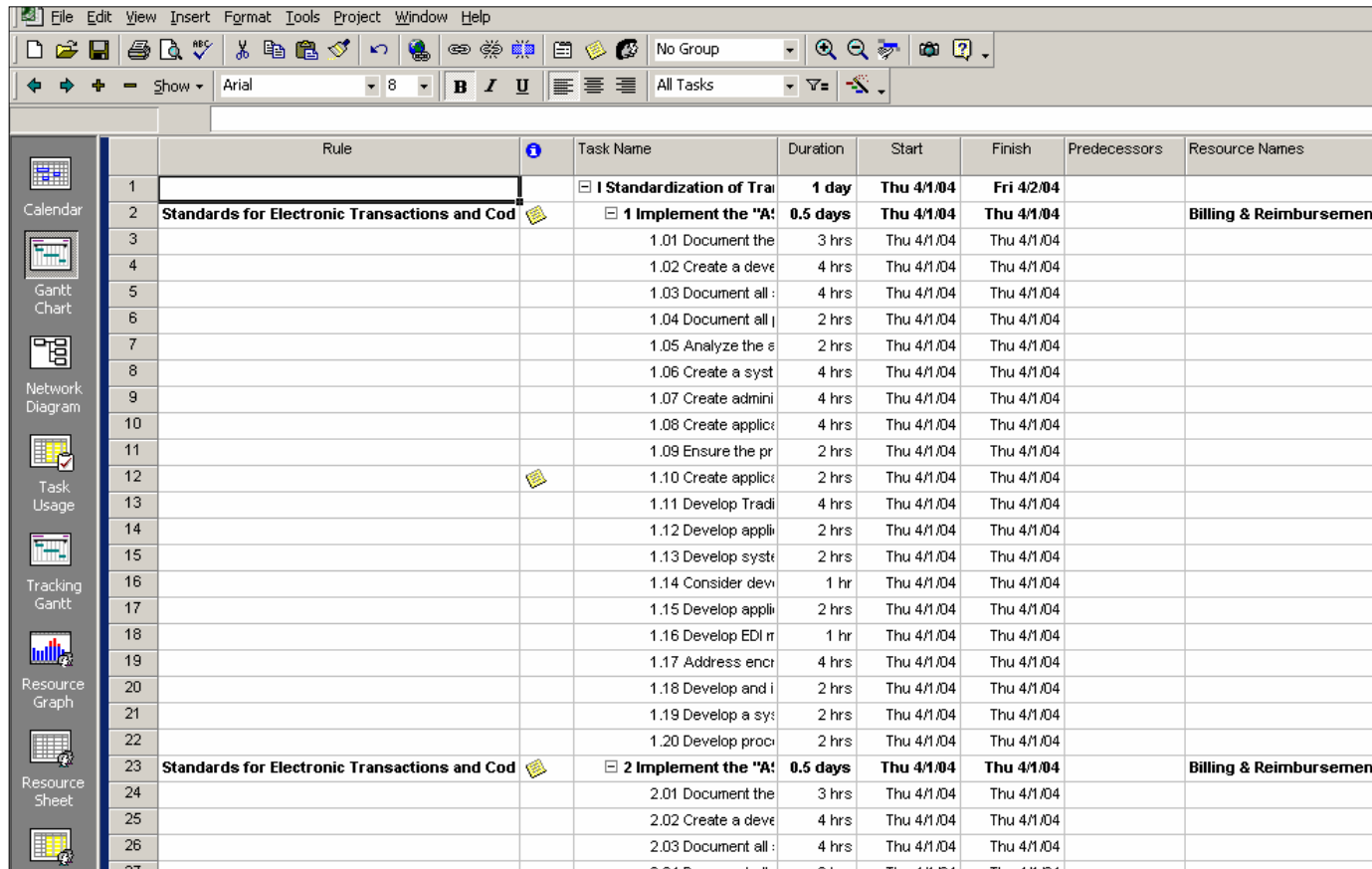
**Please follow the steps mentioned below:**

1. Please Right click on this link and select Save Target As HIPAA\_Training TEST.mdb to download the [Microsoft Access 2000 File \(.MDB\)](#) for the Gap ID: Training TEST.
2. Open MS Project on your computer. Choose File->Open from the menu.
3. Select **Files of type Microsoft Access Database** and open the downloaded file 'HIPAA\_Training TEST.mdb'.
4. You may be prompted again to **Open From Database**. Please click on **Open** button.

# Compliance Assessment Outputs and Implementation

## Generate Project Plan (5 of 6)

### 6. Your Project Plan will display (Microsoft Project)



The screenshot displays the Microsoft Project interface. The main window shows a task list with columns for Rule, Task Name, Duration, Start, Finish, Predecessors, and Resource Names. The task list is organized into two main sections: '1 Standardization of Trade' and '2 Implement the "A"'. The first section includes tasks 1.01 through 1.20, and the second section includes tasks 2.01 through 2.04. The project is titled 'Standards for Electronic Transactions and Code of Fair Practices'.

Rule	Task Name	Duration	Start	Finish	Predecessors	Resource Names
	1 Standardization of Trade	1 day	Thu 4/1/04	Fri 4/2/04		
	Standards for Electronic Transactions and Code of Fair Practices	0.5 days	Thu 4/1/04	Thu 4/1/04		Billing & Reimbursement
	1.01 Document the	3 hrs	Thu 4/1/04	Thu 4/1/04		
	1.02 Create a deve	4 hrs	Thu 4/1/04	Thu 4/1/04		
	1.03 Document all	4 hrs	Thu 4/1/04	Thu 4/1/04		
	1.04 Document all	2 hrs	Thu 4/1/04	Thu 4/1/04		
	1.05 Analyze the e	2 hrs	Thu 4/1/04	Thu 4/1/04		
	1.06 Create a syst	4 hrs	Thu 4/1/04	Thu 4/1/04		
	1.07 Create admini	4 hrs	Thu 4/1/04	Thu 4/1/04		
	1.08 Create applic	4 hrs	Thu 4/1/04	Thu 4/1/04		
	1.09 Ensure the pr	2 hrs	Thu 4/1/04	Thu 4/1/04		
	1.10 Create applic	2 hrs	Thu 4/1/04	Thu 4/1/04		
	1.11 Develop Tradi	4 hrs	Thu 4/1/04	Thu 4/1/04		
	1.12 Develop appli	2 hrs	Thu 4/1/04	Thu 4/1/04		
	1.13 Develop syst	2 hrs	Thu 4/1/04	Thu 4/1/04		
	1.14 Consider dev	1 hr	Thu 4/1/04	Thu 4/1/04		
	1.15 Develop appli	2 hrs	Thu 4/1/04	Thu 4/1/04		
	1.16 Develop EDI r	1 hr	Thu 4/1/04	Thu 4/1/04		
	1.17 Address encr	4 hrs	Thu 4/1/04	Thu 4/1/04		
	1.18 Develop and i	2 hrs	Thu 4/1/04	Thu 4/1/04		
	1.19 Develop a sys	2 hrs	Thu 4/1/04	Thu 4/1/04		
	1.20 Develop proc	2 hrs	Thu 4/1/04	Thu 4/1/04		
	Standards for Electronic Transactions and Code of Fair Practices	0.5 days	Thu 4/1/04	Thu 4/1/04		Billing & Reimbursement
	2.01 Document the	3 hrs	Thu 4/1/04	Thu 4/1/04		
	2.02 Create a deve	4 hrs	Thu 4/1/04	Thu 4/1/04		
	2.03 Document all	4 hrs	Thu 4/1/04	Thu 4/1/04		
	2.04 Document all	2 hrs	Thu 4/1/04	Thu 4/1/04		

# Compliance Assessment Outputs and Implementation

## Generate Project Plan (6 of 6)

### 7. Your Project Plan will display (Microsoft Excel)

A1 Rule						
	A	B	C	D	E	F
1	Rule	Project Category/Requirement/Task	Duration	Functional Area	Status	Regulatory Authority
2		<b>1 Standardization of Transactions</b>				
		<i>Implement the "ASC X12N 637 - Health Care Claim: Institutional Volumes 1 and 2, Version 4616" and "Addenda to Health Care Claim: Institutional, Volumes 1 and 2, Version 4616" standards for transactions used to submit institutional health care claims and/or encounter information.</i>				HIPAA requires national uniform standards for eight transactions and for code sets to be used in the transactions, as well as requirements concerning the implementation of those standards. [45 CFR Part 162] - §162.1102 [For exact quotation of Regulatory Authority and the Rule, see <a href="http://aspe.hhs.gov/admsimp">http://aspe.hhs.gov/admsimp</a> ]
3	<b>Standards for Electronic Transactions and Code Sets</b>			<b>Billing &amp; Reimbursement</b>		
4		1.02 Create a development and test environment which mimics the current production environment.	4 h		Not Answered	
5		1.03 Document all systems affected by the transmission or reception of the transaction.	4 h		Not Answered	
6		1.04 Document all personnel or departments affected by the transmission and reception of the transaction.	2 h		Not Answered	
7		1.05 Analyze the affected systems to determine level of compliance, or remediation required to accept and process the transaction.	2 h		Not Answered	
8		1.06 Create a system capable of deciphering and processing the codes contained in the transaction to determine the intent and function of the transaction for proper routing.	4 h		Not Answered	
9		1.07 Create administrative procedures to transmit and store batch EDI transactions.	4 h		Not Answered	
10		1.08 Create applications capable of processing and adhering to the ASC X12N EDI transactional format and content.	4 h		Not Answered	
11		1.09 Ensure the proper procedures are in place to support the TA1 segment which is required by HIPAA for interchange level errors.	2 h		Not Answered	
12		1.10 Create applications or systems capable of transmitting the EDI 997 Functional Acknowledgment which must be returned as quickly as possible, when in batch mode, to acknowledge that the receiver has or has not successfully received the batch transaction.	2 h		Not Answered	
13		1.11 Develop Trading Partner Agreements.	4 h		Not Answered	
Gap ID - Training TEST Copyright Disclaimer						

# Customizable Policies and Forms

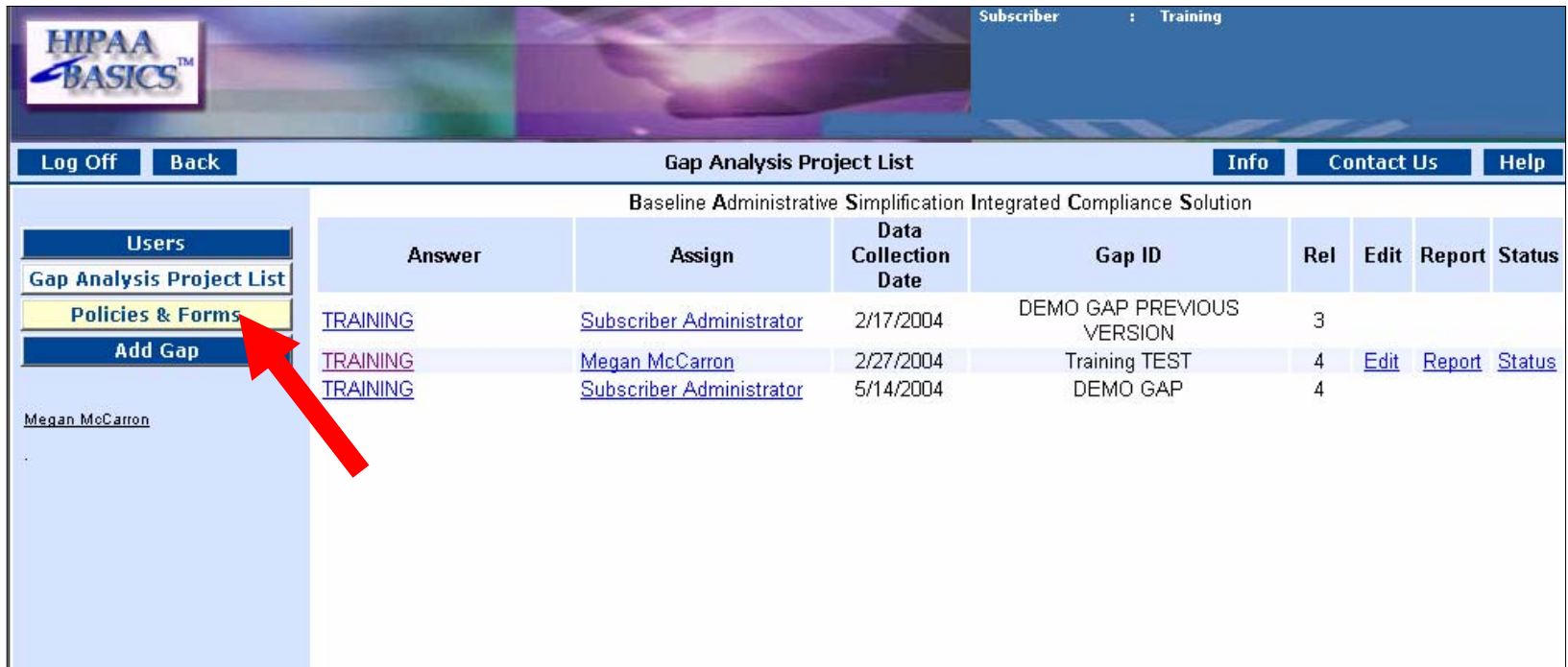
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- HIPAA BASICS™ contains generalized examples of policies and forms for each requirement that can be tailored to help your MTF meet HIPAA standards
- Policies and Forms include:
  - Optional procedures
  - Regulatory authority
  - Background sections to understand the basis of the policy
- Subscriber Administrators and Lead Users can access the Policies and Forms module from the main screen

# Compliance Assessment Outputs and Implementation

## Accessing Policies and Forms

1. Click on the **Policies & Forms** button on the left side of the screen



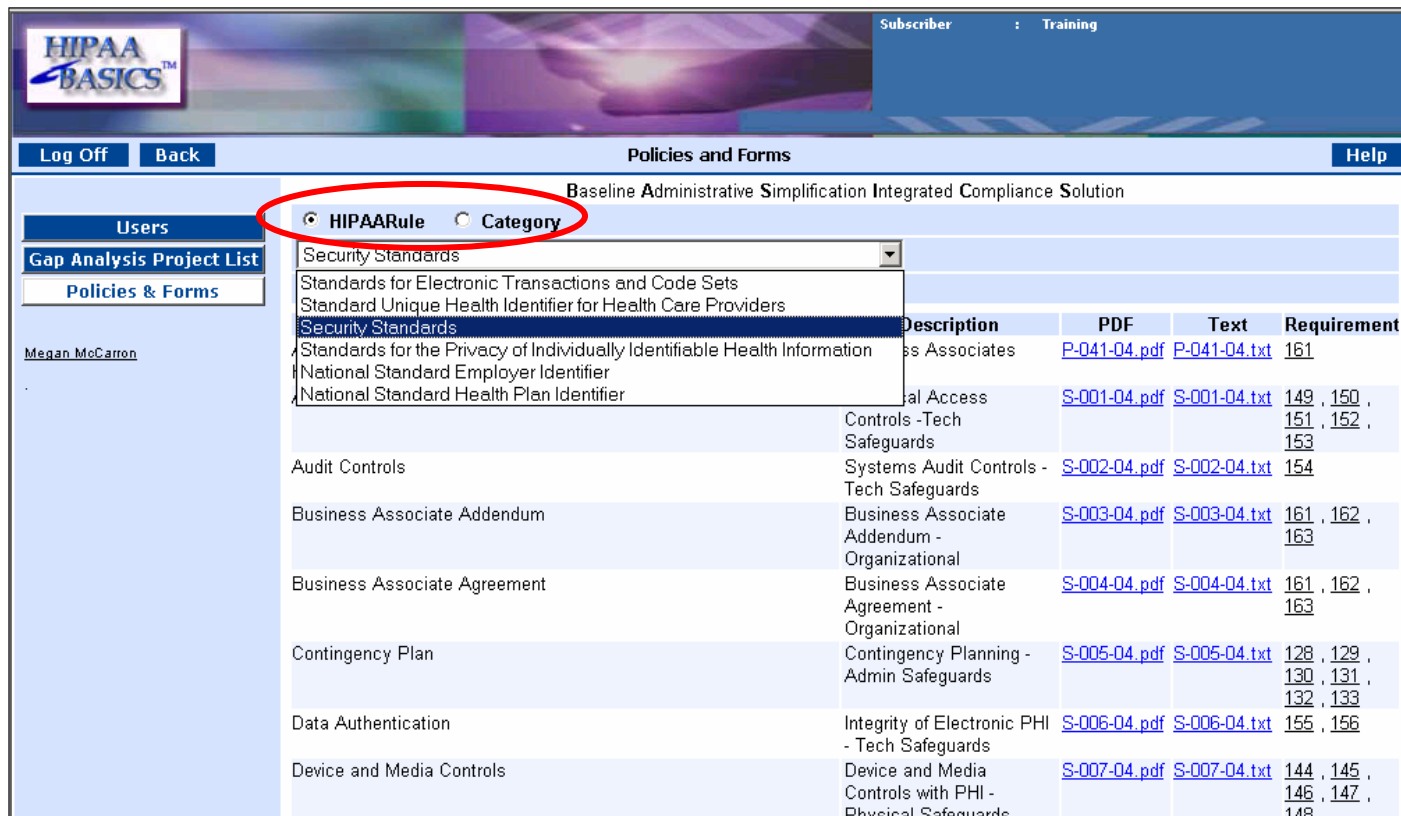
The screenshot displays the HIPAA BASICS web application interface. The top header includes the HIPAA BASICS logo, a subscriber selection dropdown set to 'Training', and navigation links for 'Log Off', 'Back', 'Info', 'Contact Us', and 'Help'. The main content area is titled 'Gap Analysis Project List' and features a table of project data. On the left sidebar, the 'Policies & Forms' button is highlighted in yellow, with a red arrow pointing to it. Below this button is an 'Add Gap' button and the user name 'Megan McCarron'.

Answer	Assign	Data Collection Date	Gap ID	Rel	Edit	Report	Status
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3			
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	4	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4			

# Compliance Assessment Outputs and Implementation

## Accessing Policies and Forms

- Sort by HIPAA Rule or Category
- A list of Policies and Forms will display



The screenshot shows the HIPAA BASICS web application interface. The top navigation bar includes 'Log Off', 'Back', 'Policies and Forms', and 'Help'. The 'Policies and Forms' section is active, displaying a table of policies and forms. The 'HIPAARule' radio button is selected and circled in red. A dropdown menu is open, showing a list of HIPAA rules. The main table displays a list of policies and forms with columns for Description, PDF, Text, and Requirement.

Description	PDF	Text	Requirement
Security Standards			
Standards for Electronic Transactions and Code Sets			
Standard Unique Health Identifier for Health Care Providers			
Security Standards			
Standards for the Privacy of Individually Identifiable Health Information	<a href="#">P-041-04.pdf</a>	<a href="#">P-041-04.txt</a>	161
National Standard Employer Identifier			
National Standard Health Plan Identifier			
Business Associate Addendum	<a href="#">S-001-04.pdf</a>	<a href="#">S-001-04.txt</a>	149 , 150 , 151 , 152 , 153
Audit Controls	<a href="#">S-002-04.pdf</a>	<a href="#">S-002-04.txt</a>	154
Business Associate Addendum	<a href="#">S-003-04.pdf</a>	<a href="#">S-003-04.txt</a>	161 , 162 , 163
Business Associate Agreement	<a href="#">S-004-04.pdf</a>	<a href="#">S-004-04.txt</a>	161 , 162 , 163
Contingency Plan	<a href="#">S-005-04.pdf</a>	<a href="#">S-005-04.txt</a>	128 , 129 , 130 , 131 , 132 , 133
Data Authentication	<a href="#">S-006-04.pdf</a>	<a href="#">S-006-04.txt</a>	155 , 156
Device and Media Controls	<a href="#">S-007-04.pdf</a>	<a href="#">S-007-04.txt</a>	144 , 145 , 146 , 147 , 148



# Compliance Assessment Outputs and Implementation

## Output Summary

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- You should now be able to:
  - Generate Assessment outputs, to include:
    - Gap Analysis Report
    - Graphical Status Report
    - Microsoft Excel and Project Plans
  - Access customizable Policies and Forms within HIPAA BASICS™

# **Subscription Maintenance**

# Subscription Maintenance

## Objectives

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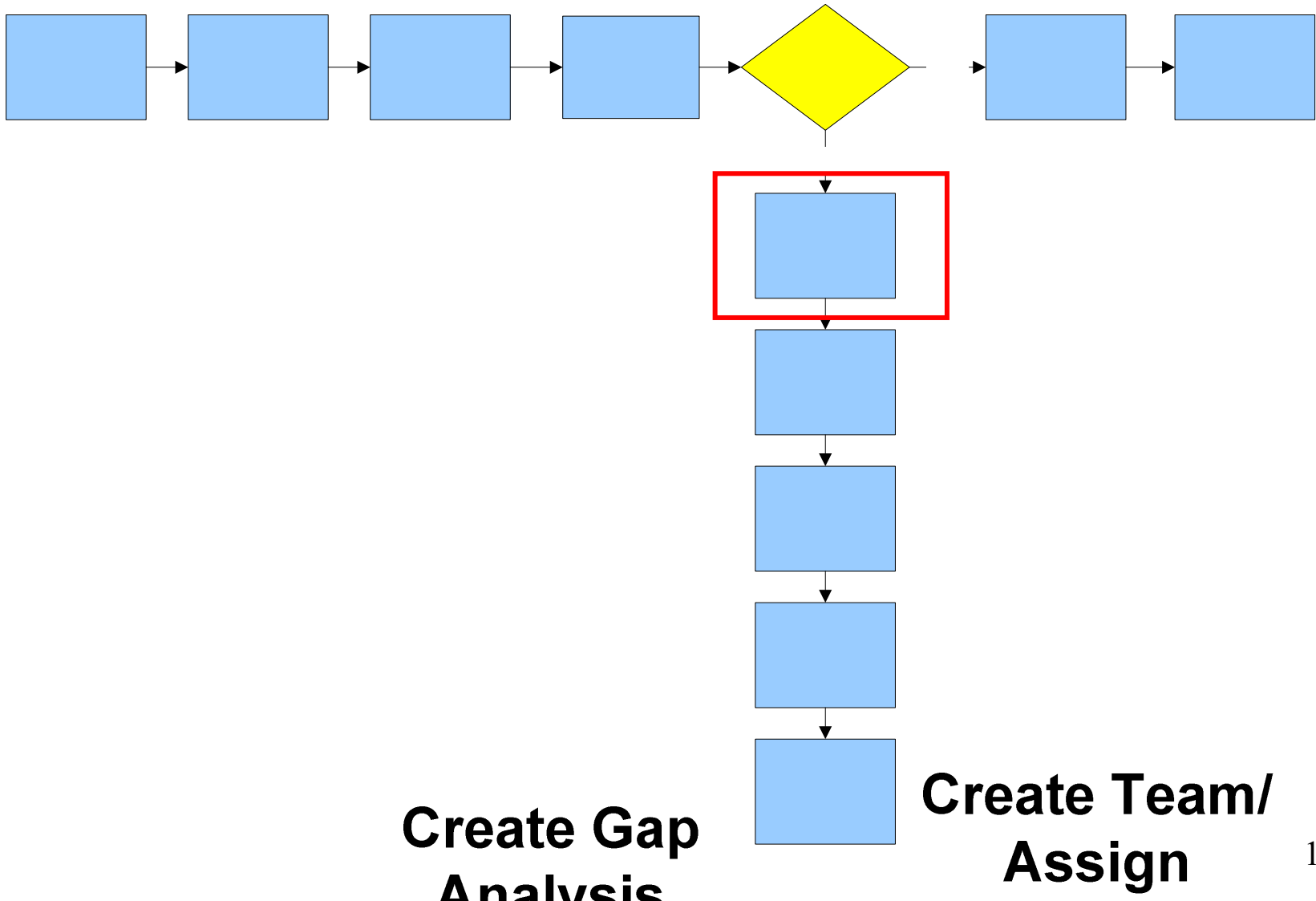
- Upon completion of this lesson, you will be able to:
  - Create baseline compliance assessments
  - Edit user accounts within your subscription as the Subscriber Administrator
  - Inactivate users within Subscription
  - Reassign Lead Users to Gap Analysis
  - Add Gaps for Lead Users within Subscription
  - Identify what to do if you run out of license packs

# Copy Gap Analysis (1 of 6)

---

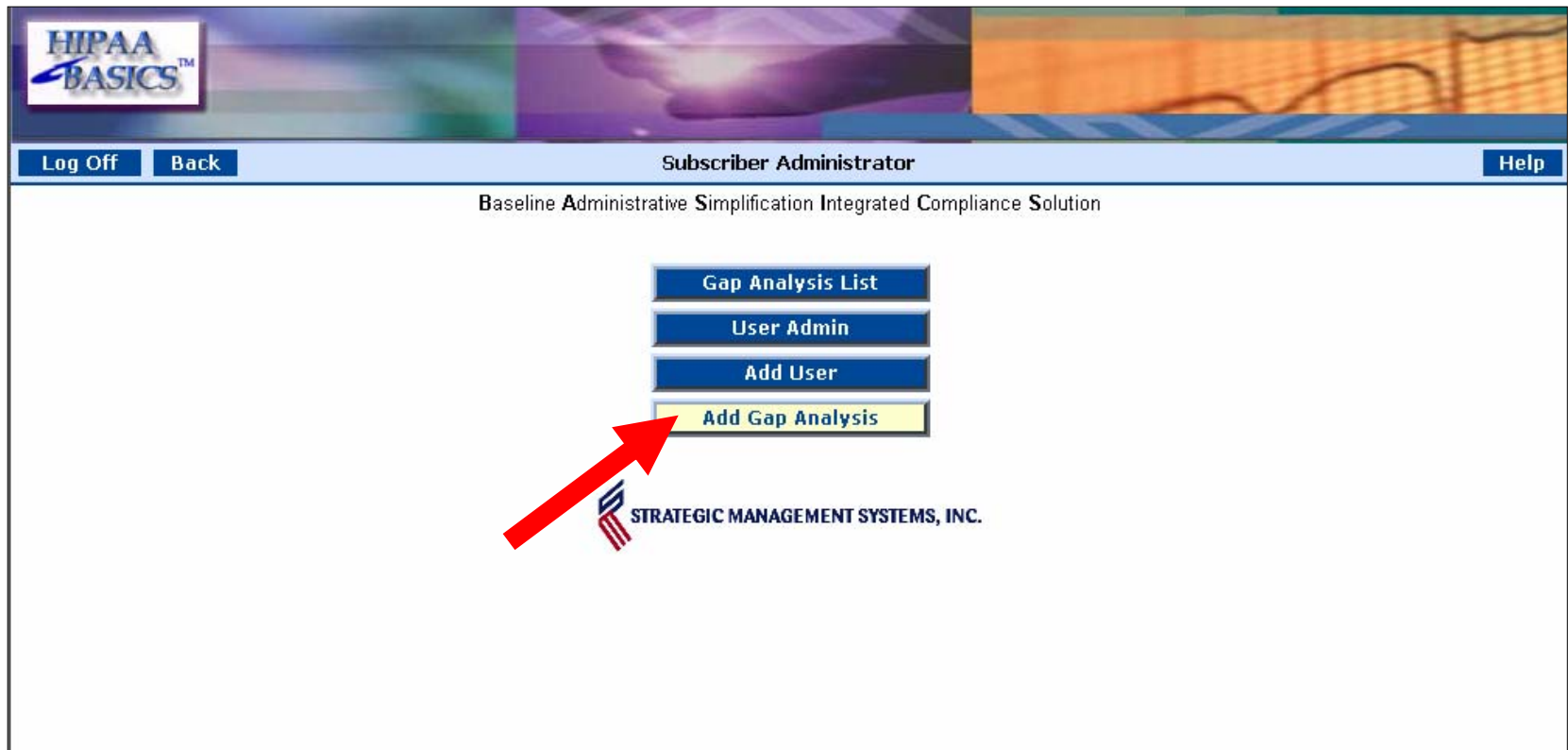
- The Subscriber Administrator is responsible for copying Gap Analyses, creating a baseline compliance assessment
- The Gap Analysis must be upgraded to the current version before it can be copied
- The Lead User of Gap Analysis must communicate the need for a copy to their Subscriber Administrator

# Copy Gap Analysis (2 of 6)



# Copy Gap Analysis (3 of 6)

1. Select the **Add Gap Analysis** button from the Admin screen



# Subscription Maintenance

## Copy Gap Analysis (4 of 6)

- Click on the **New Version** button on the bottom of the screen

Please click on Add/Update to save changes...

Log Off Back Add New Gap Analysis Project Help

\*Lead User

Data Collection Date (mm/dd/yyyy)

Gap ID

Notes for Client

Date Completed (mm/dd/yyyy)

Internal

**Partial Gap Analysis (OPTIONAL):**  
If you wish to set HIPAA Rule(s) as Not Applicable, you may uncheck the corresponding Applicability boxes and thereby pre-answer with "Does Not Apply". This has the effect that the Status of all Tasks for the Requirements of the deselected Rule(s) are set to "Does Not Apply".

Standards for Electronic Transactions and Code Sets	<input checked="" type="checkbox"/>
Standard Unique Health Identifier for Health Care Providers	<input checked="" type="checkbox"/>
Security Standards	<input checked="" type="checkbox"/>
Standards for the Privacy of Individually Identifiable Health Information	<input checked="" type="checkbox"/>
National Standard Employer Identifier	<input checked="" type="checkbox"/>
National Standard Health Plan Identifier	<input checked="" type="checkbox"/>

Applicability

Clear NewVersion Add

## Subscription Maintenance

# Copy Gap Analysis (5 of 6)

3. Select the **Gap ID** from the drop down menu
  - *After selecting the Gap ID, all other fields will be filled in*
4. Click on the **Add** button

The screenshot shows a web application interface for 'HIPAA BASICS'. At the top, there is a banner with the text 'Please click on Add/Update to save changes...'. Below the banner, there are buttons for 'Log Off', 'Back', and 'Help'. The main title of the form is 'Add New Gap Version'. The form contains several fields: 'Gap ID' (a dropdown menu with 'TEST GAP' selected and highlighted by a red box), '\*Lead User' (a dropdown menu with 'Subscriber Administrator' selected), 'Data Collection Date (mm/dd/yyyy)' (a text box with '5/21/2004'), 'Target Completion (mm/dd/yyyy)' (a text box), 'Project Start (mm/dd/yyyy)' (a text box), 'Gap ID' (a text box with 'TEST GAP Version 2'), 'Date Completed (mm/dd/yyyy)' (a text box), and 'Notes for Client' (a large text area). There are also 'Internal' and 'Reset:' sections. The 'Reset:' section has four checkboxes: 'Answers', 'TaskNote', 'RequirementNote', and 'TeamAssigned', all of which are checked. At the bottom, there are 'Clear' and 'Add' buttons. A red arrow points to the 'Add' button.



# Subscription Maintenance

## Copy Gap Analysis (6 of 6)

5. Click on **OK** to proceed creating the new version

The screenshot displays the 'HIPAA BASICS' web application interface. At the top, a banner reads 'Please click on Add/Update to save changes...'. Below this, a navigation bar includes 'Log Off', 'Back', and 'Help' buttons. The main section is titled 'Add New Gap Version'. It contains several input fields: 'Gap ID' (set to 'TEST GAP'), '\*Lead User' (set to 'Subscriber Administrator'), 'Data Collection Date (mm/dd/yyyy)' (set to '5/21/2004'), 'Target Completion (mm/dd/yyyy)', 'Project Start (mm/dd/yyyy)', 'Gap ID', 'Date Completed (mm/dd/yyyy)', and 'Notes for Client'. A red arrow points to the 'OK' button in a confirmation dialog box that asks 'Do you wish to create a new version? Click 'OK' to Proceed.' Below the form, there is an 'Internal' section and a 'Reset:' section with checkboxes for 'Answers', 'TaskNote', 'RequirementNote', and 'TeamAssigned'. At the bottom, there are 'Clear' and 'Add' buttons.

# Edit User Accounts Across Subscription

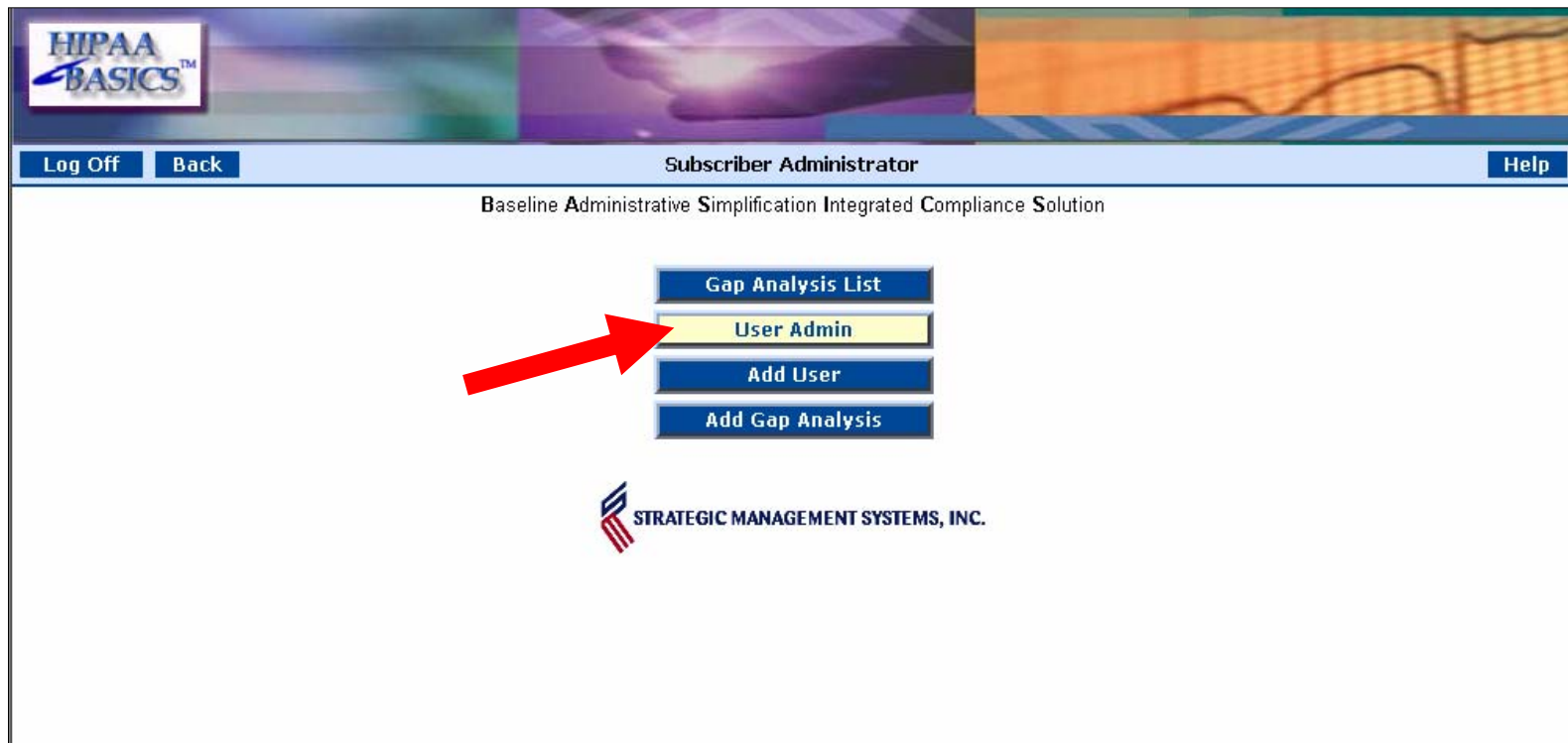
---

- The Subscriber Administrator is responsible for editing user accounts
  - Change passwords
  - Update user information

# Subscription Maintenance

## Edit User Account (1 of 3)

1. Select the **User Admin** button from the Admin screen



# Subscription Maintenance

## Edit User Account (2 of 3)

2. Select the user whose account you want to edit



The screenshot shows the HIPAA BASICS web application interface. At the top, there is a header with the HIPAA BASICS logo and navigation buttons: Log Off, Menu, Back, and Help. Below the header, the title 'Subscriber Users' is displayed. The main content area contains a table with the following columns: User, Level, # Gaps, City, Zip, E-Mail, Phone, and Fax. The table lists several users, including A. Karry, Alec Karry, Gail Brown, Jane Doe, Karla Cisneros, Megan McCarron, Natalie Scovel, R. Misleh, Rommie Misleh, Colonel Regular User, John Smith, and Subscriber Administrator. A red arrow points to the 'Jane Doe' user entry.

User	Level	# Gaps	City	Zip	E-Mail	Phone	Fax
<a href="#">A. Karry</a>	User				a.karry@osd.mil		
<a href="#">Alec Karry</a>	Lead User	5			karry_alexander@bah.com	703-377-1014	
<a href="#">Gail Brown</a>	Lead User	1			gail.brown@tma.osd.mil		
<a href="#">Jane Doe</a>	User		Fairfax	22030	jane.doe@email.com	703-234-4434	703-332-9776
<a href="#">Karla Cisneros</a>	User				karla.cisneros@tma.osd.mil		
<a href="#">Megan McCarron</a>	Lead User	1			megan.mccarron@tma.osd.mil		
<a href="#">Natalie Scovel</a>	Lead User				Inactive		
<a href="#">R. Misleh</a>	User				r.misleh@osd.mil		
<a href="#">Rommie Misleh</a>	Lead User				misleh_rommie@bah.com		
<a href="#">Colonel Regular User</a>	User				regular_user@mhs.mil		
<a href="#">John Smith</a>	User				inactive_smithj@mhs.mil		
<a href="#">Subscriber Administrator</a>	Administrator	2			karry_alexander@bah.com		

# Subscription Maintenance

## Edit User Account (3 of 3)

3. Change User information on the User Details screen
4. Click on the **Update** button

**HIPAA BASICS™**  
Please click on Add/Update to save changes...

**Log Off** **Menu** **Back** **User Detail** **Help**

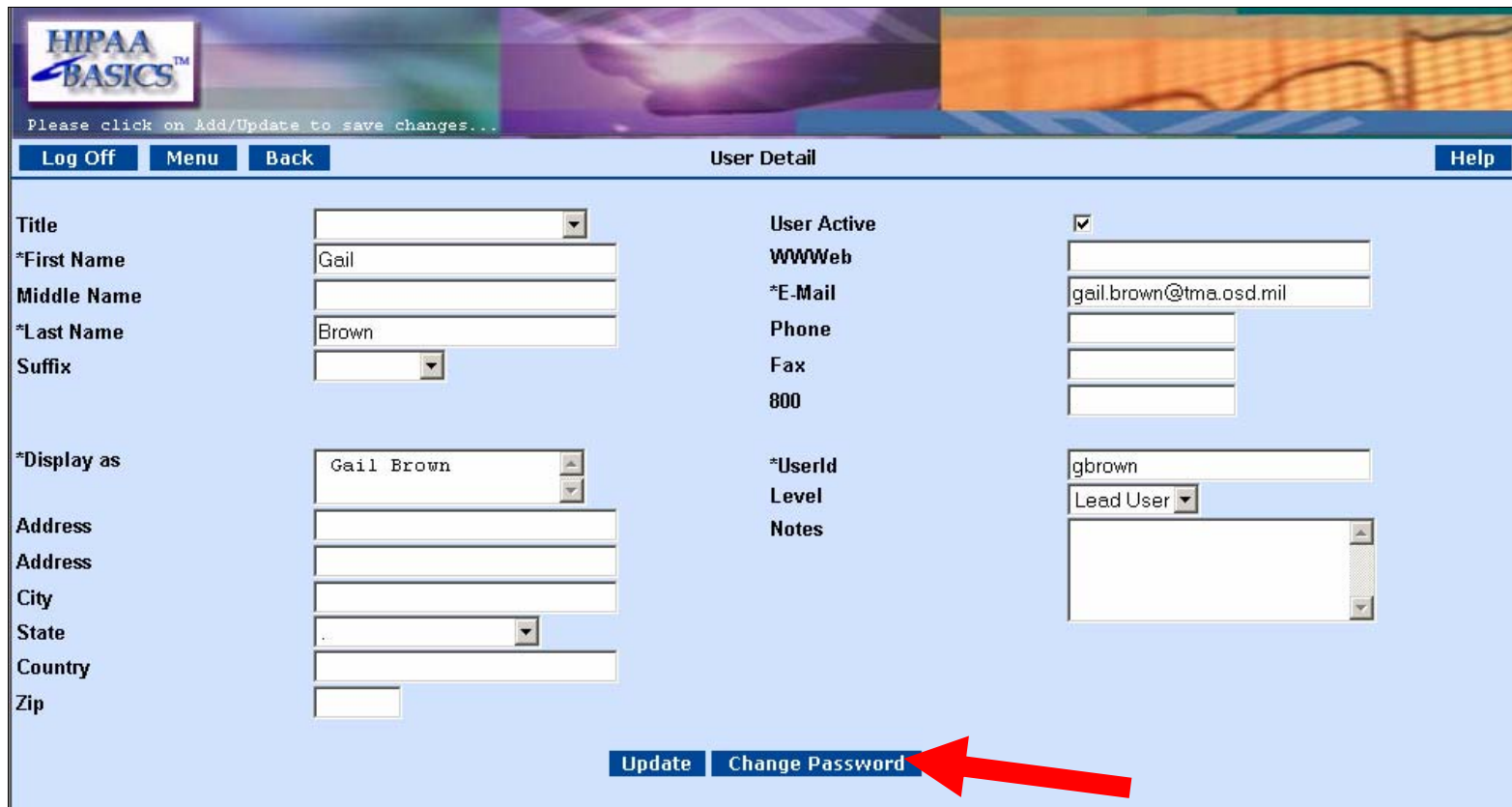
Title	<input type="text"/>	User Active	<input checked="" type="checkbox"/>
*First Name	<input type="text" value="Gail"/>	WWWWeb	<input type="text"/>
Middle Name	<input type="text"/>	*E-Mail	<input type="text" value="gail.brown@tma.osd.mil"/>
*Last Name	<input type="text" value="Brown"/>	Phone	<input type="text"/>
Suffix	<input type="text"/>	Fax	<input type="text"/>
		800	<input type="text"/>
*Display as	<input type="text" value="Gail Brown"/>	*UserId	<input type="text" value="gbrown"/>
Address	<input type="text"/>	Level	<input type="text" value="Lead User"/>
Address	<input type="text"/>	Notes	<input type="text"/>
City	<input type="text"/>		
State	<input type="text"/>		
Country	<input type="text"/>		
Zip	<input type="text"/>		

**Update** **Change Password**

## Subscription Maintenance

# Edit User Account: Change Password (1 of 2)

1. Click on the **Change Password** button from the User Detail screen



**HIPAA BASICS™**  
Please click on Add/Update to save changes...

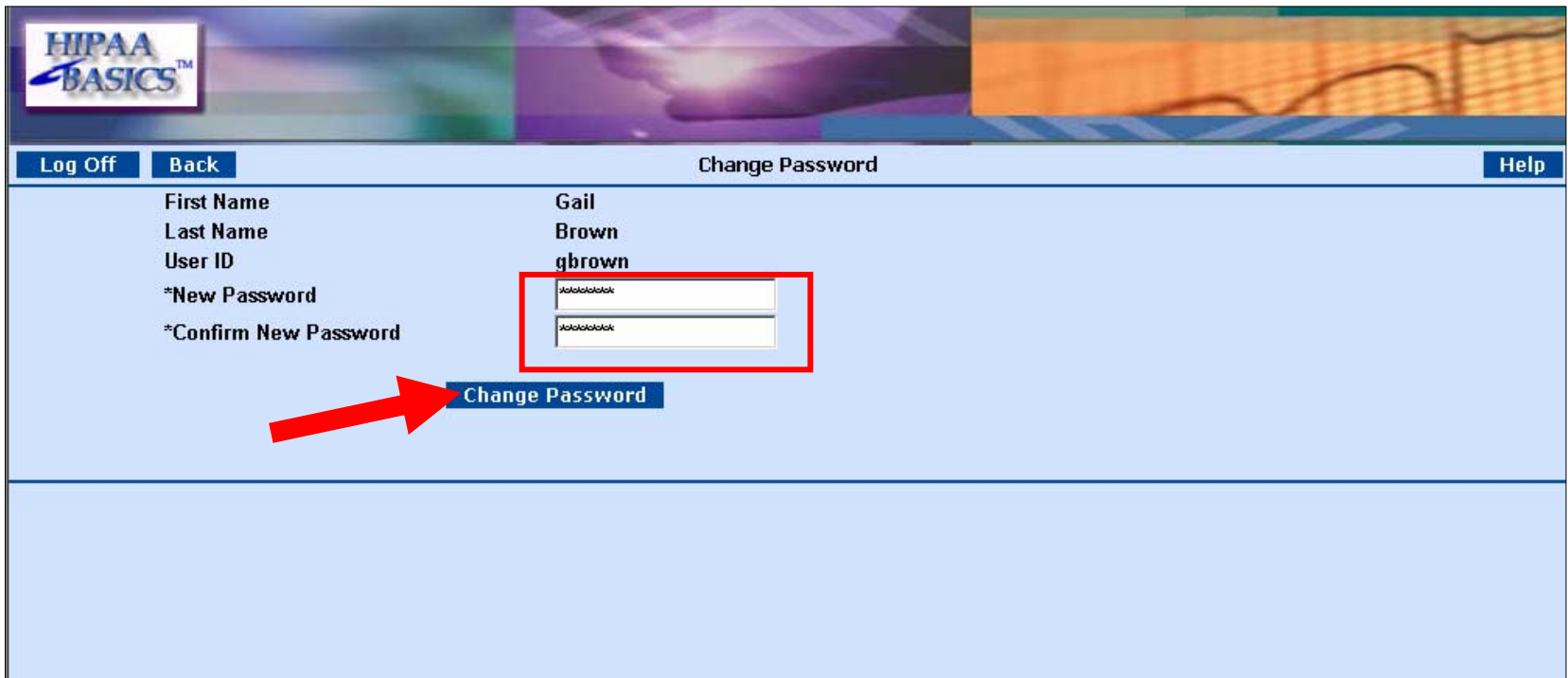
**Log Off** **Menu** **Back** **User Detail** **Help**

Title	<input type="text"/>	User Active	<input checked="" type="checkbox"/>
*First Name	<input type="text" value="Gail"/>	WWWWeb	<input type="text"/>
Middle Name	<input type="text"/>	*E-Mail	<input type="text" value="gail.brown@tma.osd.mil"/>
*Last Name	<input type="text" value="Brown"/>	Phone	<input type="text"/>
Suffix	<input type="text"/>	Fax	<input type="text"/>
	<input type="text"/>	800	<input type="text"/>
*Display as	<input type="text" value="Gail Brown"/>	*UserId	<input type="text" value="gbrown"/>
Address	<input type="text"/>	Level	<input type="text" value="Lead User"/>
Address	<input type="text"/>	Notes	<input type="text"/>
City	<input type="text"/>		
State	<input type="text"/>		
Country	<input type="text"/>		
Zip	<input type="text"/>		

**Update** **Change Password**

# Edit User Account: Change Password (2 of 2)

2. Create New Password and Confirm New Password
3. Click on the **Change Password** button



The screenshot shows a web interface for "HIPAA BASICS™". At the top, there is a navigation bar with "Log Off", "Back", "Change Password", and "Help" buttons. Below this, the form displays user information: First Name (Gail), Last Name (Brown), and User ID (gbrown). There are two password input fields labeled "\*New Password" and "\*Confirm New Password", both containing masked text (asterisks). A red rectangle highlights these two fields. A large red arrow points to a "Change Password" button located below the password fields. The background of the form area is light blue.

First Name	Gail
Last Name	Brown
User ID	gbrown
*New Password	XXXXXXXXXX
*Confirm New Password	XXXXXXXXXX

**Change Password**

# Inactivate Users within Subscription (1 of 4)

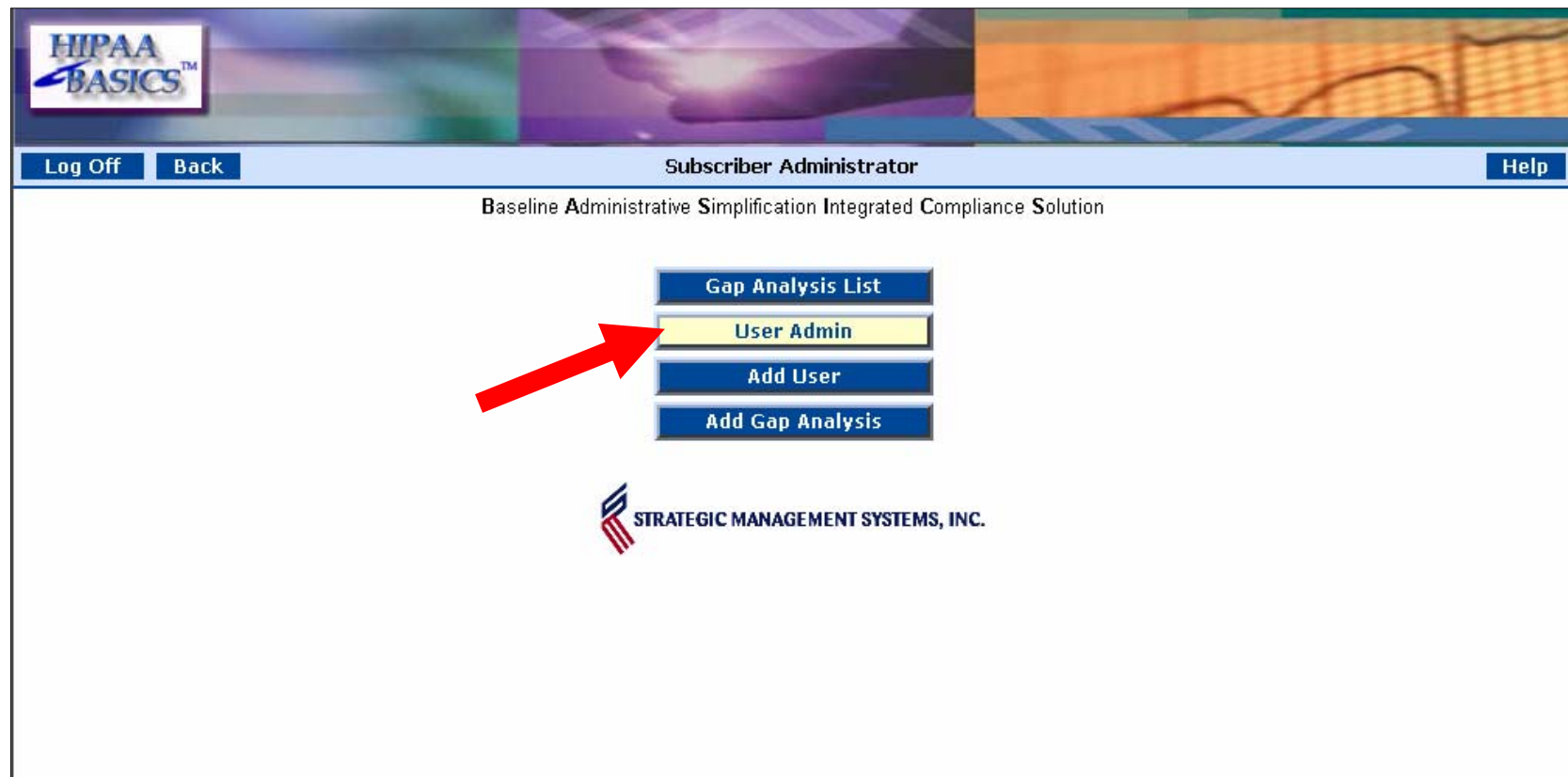
---

- If a user has been removed from all involved teams and not longer needs access to HIPAA BASICS™, the Subscriber Administrator then needs to inactivate the user account
- Once inactivated, the user will no longer be able to login
- The inactive user can be replaced by someone arriving at your facility



# Inactivate Users within Subscription (2 of 4)

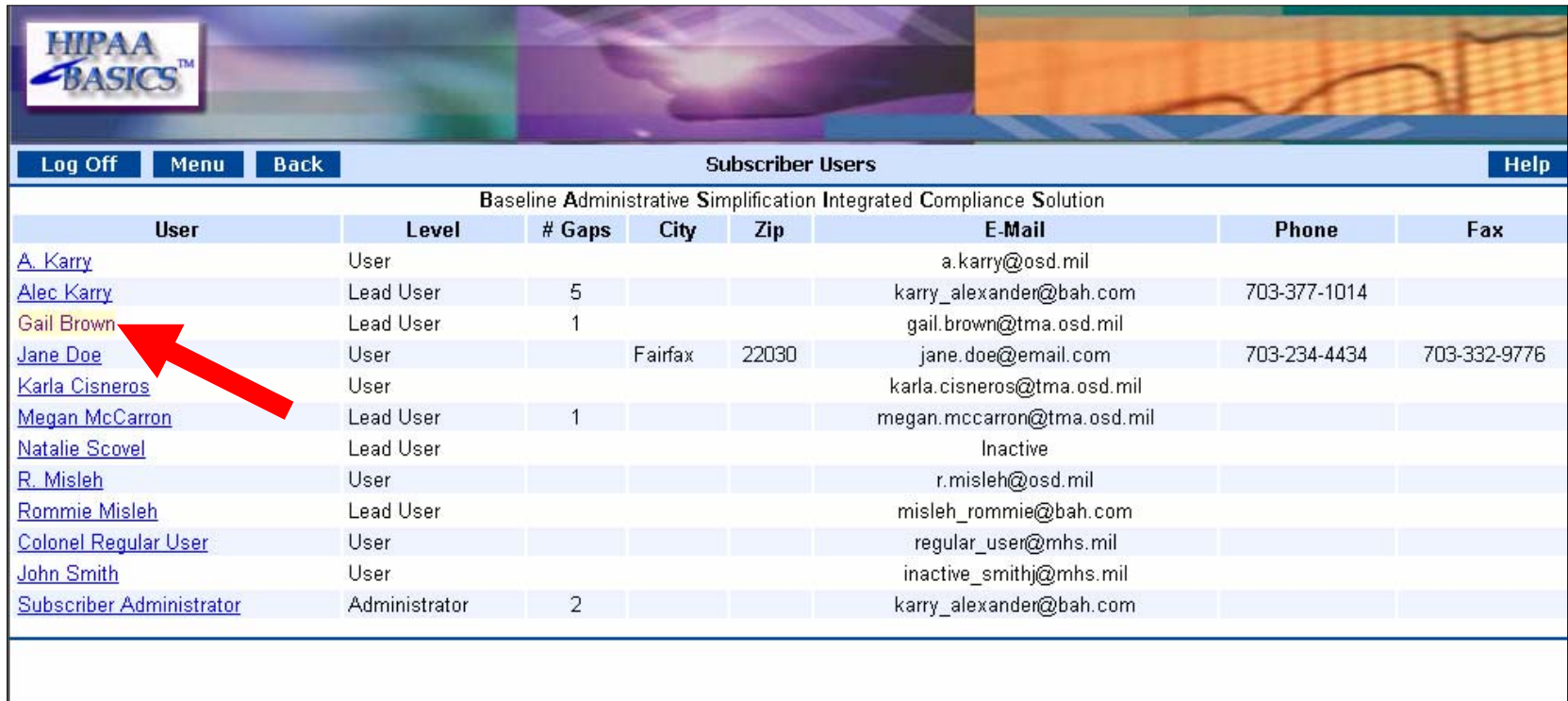
1. Click on the **User Admin** button from the Admin screen



## Subscription Maintenance

# Inactivate Users within Subscription (3 of 4)

2. Select the user that you want to inactivate



The screenshot shows the 'Subscriber Users' interface of the HIPAA BASICS system. At the top left is the 'HIPAA BASICS' logo. Below it are buttons for 'Log Off', 'Menu', and 'Back'. On the right is a 'Help' button. The main title is 'Subscriber Users'. Below this is a table with columns: User, Level, # Gaps, City, Zip, E-Mail, Phone, and Fax. The table lists several users, including A. Karry, Alec Karry, Gail Brown, Jane Doe, Karla Cisneros, Megan McCarron, Natalie Scovel, R. Misleh, Rommie Misleh, Colonel Regular User, John Smith, and Subscriber Administrator. A red arrow points to the 'Jane Doe' row.

User	Level	# Gaps	City	Zip	E-Mail	Phone	Fax
<a href="#">A. Karry</a>	User				a.karry@osd.mil		
<a href="#">Alec Karry</a>	Lead User	5			karry_alexander@bah.com	703-377-1014	
<a href="#">Gail Brown</a>	Lead User	1			gail.brown@tma.osd.mil		
<a href="#">Jane Doe</a>	User		Fairfax	22030	jane.doe@email.com	703-234-4434	703-332-9776
<a href="#">Karla Cisneros</a>	User				karla.cisneros@tma.osd.mil		
<a href="#">Megan McCarron</a>	Lead User	1			megan.mccarron@tma.osd.mil		
<a href="#">Natalie Scovel</a>	Lead User				Inactive		
<a href="#">R. Misleh</a>	User				r.misleh@osd.mil		
<a href="#">Rommie Misleh</a>	Lead User				misleh_rommie@bah.com		
<a href="#">Colonel Regular User</a>	User				regular_user@mhs.mil		
<a href="#">John Smith</a>	User				inactive_smithj@mhs.mil		
<a href="#">Subscriber Administrator</a>	Administrator	2			karry_alexander@bah.com		

## Subscription Maintenance

# Inactivate Users within Subscription (4 of 4)

3. Remove the check in the “User Active” box
4. Click on the **Update** button

The screenshot displays the 'User Detail' form in the HIPAA BASICS application. The form is divided into two main sections: user identification and contact information on the left, and user status and preferences on the right. The 'User Active' checkbox is highlighted with a red box, and the 'Update' button is pointed to by a red arrow.

**HIPAA BASICS™**  
Please click on Add/Update to save changes...

**Log Off** **Menu** **Back** **User Detail** **Help**

<b>Title</b>	<input type="text"/>	<b>User Active</b>	<input type="checkbox"/>
<b>*First Name</b>	<input type="text" value="Gail"/>	<b>WWWWeb</b>	<input type="text"/>
<b>Middle Name</b>	<input type="text"/>	<b>*E-Mail</b>	<input type="text" value="gail.brown@trna.osd.mil"/>
<b>*Last Name</b>	<input type="text" value="Brown"/>	<b>Phone</b>	<input type="text"/>
<b>Suffix</b>	<input type="text"/>	<b>Fax</b>	<input type="text"/>
<b>*Display as</b>	<input type="text" value="Gail Brown"/>	<b>800</b>	<input type="text"/>
<b>Address</b>	<input type="text"/>	<b>*UserId</b>	<input type="text" value="gbrown"/>
<b>Address</b>	<input type="text"/>	<b>Level</b>	<input type="text" value="Lead User"/>
<b>City</b>	<input type="text"/>	<b>Notes</b>	<input type="text"/>
<b>State</b>	<input type="text"/>		
<b>Country</b>	<input type="text"/>		
<b>Zip</b>	<input type="text"/>		

**Update** **Change Password**

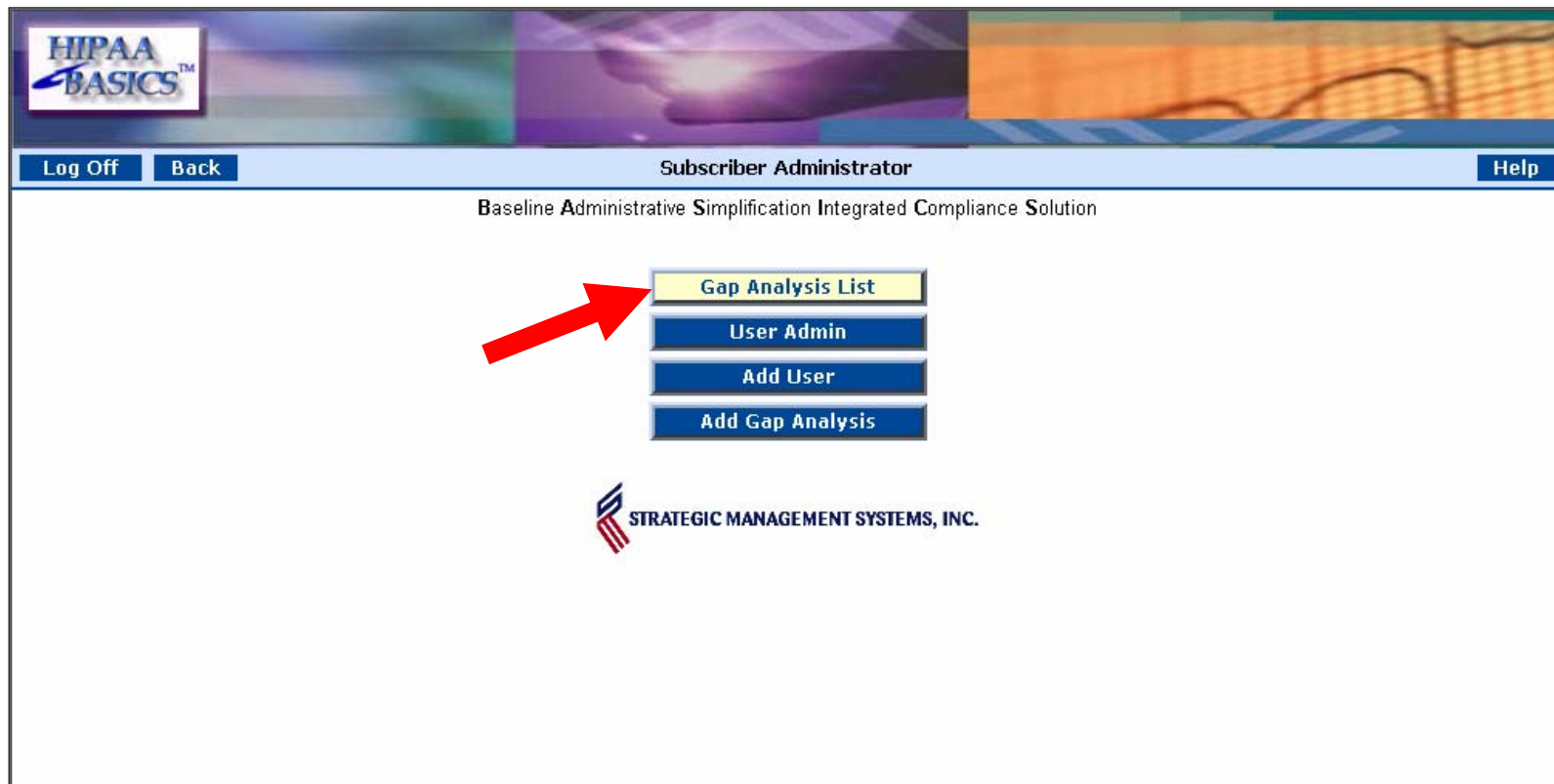
# View/Edit Gaps across Subscription (1 of 3)

---

- The Subscriber Administrator has the ability to view and edit any Gap Analysis within their subscription

# View/Edit Gaps across Subscription (2 of 3)

1. Click on the **Gap Analysis List** button from the Admin screen



## Subscription Maintenance

# View/Edit Gaps across Subscription (3 of 3)

- This screen displays all of the Gap Analyses that are set up within your Subscription

HIPAA

BASICS™

Back

Gap Analysis Project List

Help

Baseline Administrative Simplification Integrated Compliance Solution

Answer	Assignments	Data Collection Date	Gap ID	Rel	Edit	Report	Status Report	Gap Status
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Sample Gap ID	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	XXX - GAP	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Gap XXX-X	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Gail Brown</a>	3/15/2004	MHS Samp xx.2	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Sample Gap ID Version 2	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	XXX - GAP Version 2	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	3/15/2002	MHS Samp xx.1	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>		775	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	

# Reassign Lead Users (1 of 3)

---

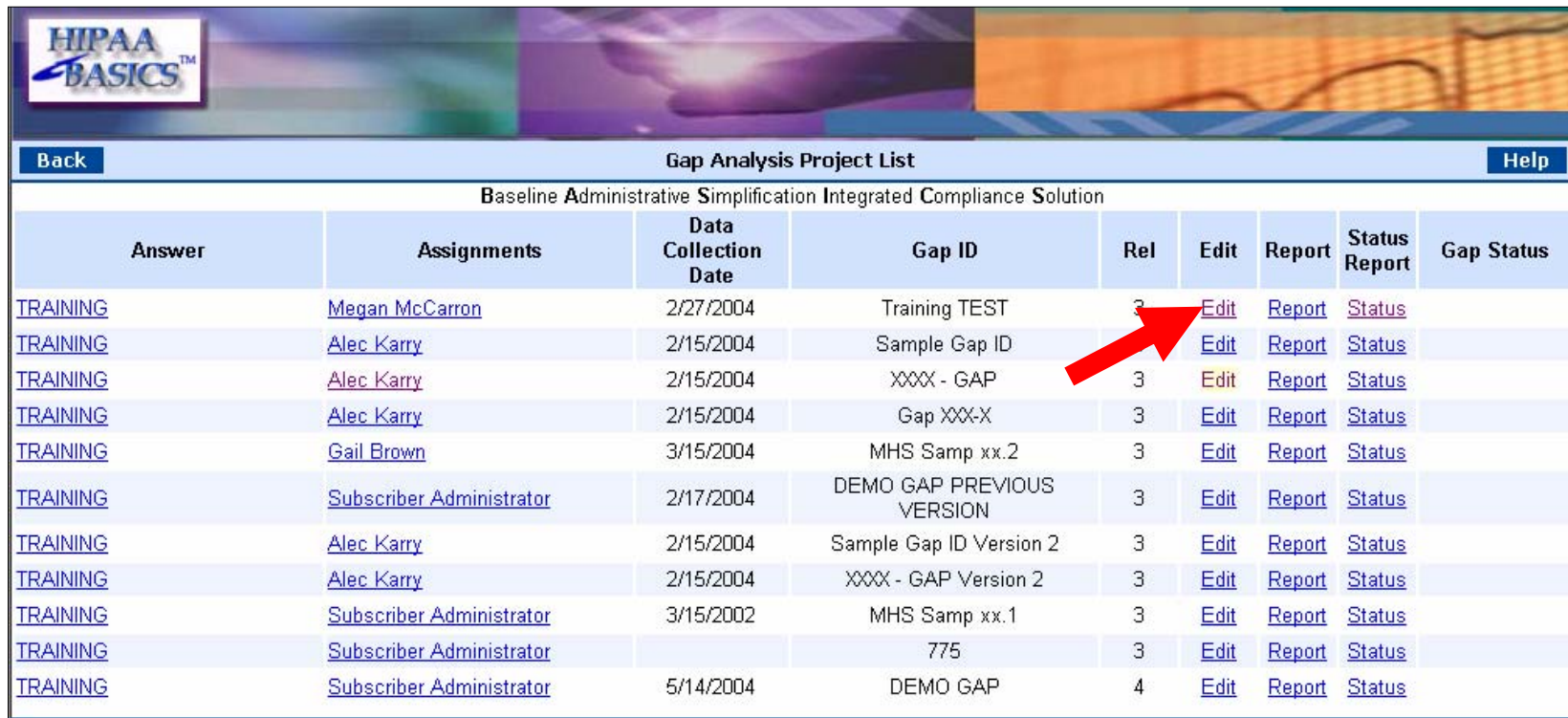
- The Subscriber Administrator has the ability to reassign Lead Users from one Gap Analysis to another
- Can only be done for Gaps within your Subscription
- The Lead User account must be established by the Subscriber Administrator before they can be assigned as a Lead User for a specific Gap Analysis



# Subscription Maintenance

## Reassign Lead Users (2 of 3)

1. Select the [Edit](#) link from the Gap Analysis Project List screen



The screenshot shows the 'Gap Analysis Project List' screen in the HIPAA BASICS™ application. The screen has a header bar with 'Back' on the left, 'Gap Analysis Project List' in the center, and 'Help' on the right. Below the header is a sub-header 'Baseline Administrative Simplification Integrated Compliance Solution'. The main content is a table with the following columns: Answer, Assignments, Data Collection Date, Gap ID, Rel, Edit, Report, Status Report, and Gap Status. A red arrow points to the 'Edit' link in the first row of the table.

Answer	Assignments	Data Collection Date	Gap ID	Rel	Edit	Report	Status Report	Gap Status
<a href="#">TRAINING</a>	<a href="#">Megan McCarron</a>	2/27/2004	Training TEST	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Sample Gap ID		<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	XXX - GAP	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Gap XXX-X	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Gail Brown</a>	3/15/2004	MHS Samp xx.2	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	2/17/2004	DEMO GAP PREVIOUS VERSION	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	Sample Gap ID Version 2	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Alec Karry</a>	2/15/2004	XXX - GAP Version 2	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	3/15/2002	MHS Samp xx.1	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>		775	3	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	
<a href="#">TRAINING</a>	<a href="#">Subscriber Administrator</a>	5/14/2004	DEMO GAP	4	<a href="#">Edit</a>	<a href="#">Report</a>	<a href="#">Status</a>	



# Subscription Maintenance

## Reassign Lead Users (3 of 3)

2. Select a new “Lead User” from the drop down box
3. Click on the **Update** button

**HIPAA BASICS™**  
Please click on Add/Update to save changes...

**Log Off** **Menu** **Admin** **Edit Gap Analysis** **Help**

**Lead User**  
Data Collection Date (mm/dd/yyyy)  
Target Completion (mm/dd/yyyy)  
Project Start (mm/dd/yyyy)  
Gap ID  
Gap Active ☒  
Date Completed (mm/dd/yyyy) 3/2/2004  
Notes for Client  
Internal

**Lead User** (dropdown menu):  
Alec Karry  
Alec Karry  
Gail Brown  
Megan McCarron  
Natalie Scovel  
Rommie Misleh  
Subscriber Administrator

**Client Notes**  
**Internal Notes**

**Archive to File** **Project Plan** **Project Plan XLS** **Reassign User Assignments** **Upgrade to New Release** **Update**

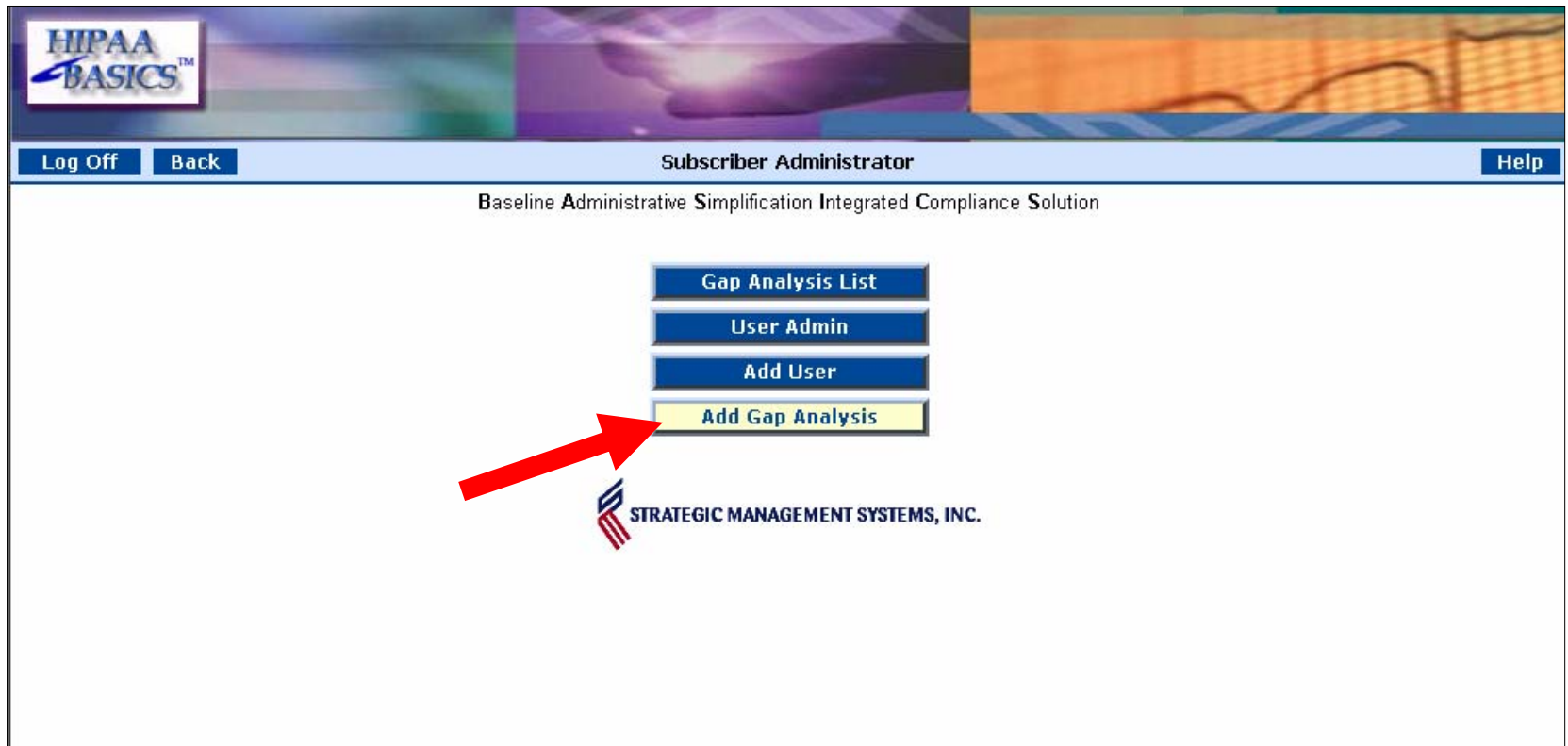
# Add Gaps for Lead Users within Subscription (1 of 3)

---

- Subscriber Administrators can create a Gap Analysis for any Lead User within their subscription
- The Lead User account must be created by the Subscriber Administrator before they can be assigned as a Lead User for a specific Gap Analysis

# Add Gaps for Lead Users within Subscription (2 of 3)

1. Click on the **Add Gap Analysis** button from the Admin screen



# Add Gaps for Lead Users within Subscription (3 of 3)

2. Select the “Lead User” from the drop down box
3. Enter the Data Collection Date and Gap ID
4. Enter any client or internal notes
5. Select the Applicability
6. Click on **Add**

Please click on Add/Update to save changes...

Log Off Back Add New Gap Analysis Project Help

Lead User  
Data Collection Date (mm/dd/yyyy)  
Gap ID  
Notes for Client

Date Completed (mm/dd/yyyy)  
Internal

**Partial Gap Analysis (OPTIONAL):**  
If you wish to set HIPAA Rule(s) as Not Applicable, you may uncheck the corresponding Applicability boxes and thereby pre-answer with "Does Not Apply". This has the effect that the Status of all Tasks for the Requirements of the deselected Rule(s) are set to "Does Not Apply".

Standards for Electronic Transactions and Code Sets  
Standard Unique Health Identifier for Health Care Providers  
Security Standards  
Standards for the Privacy of Individually Identifiable Health Information  
National Standard Employer Identifier  
National Standard Health Plan Identifier

Applicability

☒  
☒  
☒  
☒  
☒  
☒

Clear NewVersion Add

## Subscription Maintenance

# License Packs

---

- A license pack is a collection of users per subscription
- Standard license pack is 3 – 3 – 5
- The system will let you know when you have run out
- The Subscriber Administrator is responsible for contacting the HIPAA Support Center if they run out of license packs

Lead Users	Regular Users	Gap Per Lead
3	3	5

## Subscription Maintenance

# Maintenance Summary

---

- You should now be able to:
  - Edit user accounts within your subscription as the Subscriber Administrator
  - Inactivate users within Subscription
  - Reassign Lead Users to Gap Analysis
  - Add Gaps for Lead Users within Subscription
  - Identify what to do if you run out of license packs

# **Password Requirements**

## Passwords Requirements

# Objectives

---

- Upon completion of this lesson, you will be able to:
  - Identify the password requirements for HIPAA BASICS™



## Password Requirements

# Existing Requirements

---

- Passwords must be 8-15 characters long and contain characters from all four of the following classes:
  - English upper case and lower case letters
  - Arabic numerals (0, 1, 2, ...9)
  - Non alphanumeric special characters (!, @, \$, %, \*,...)
  - Cannot contain user first and last name OR subscriber name

## Password Requirements

# Upgraded Password Security (1 of 2)

---

- DITSCAP
  - Department of Defense Instruction: 8500.2
  - MHS Information Assurance Policy/Guidance Manual, Version 1.3
- Passwords will expire after 90 days
  - User will be prompted to change password
  - Cannot be reused within 5 password changes
- Force change of password upon first login and after password reset by the HIPAA Support Center or your Subscriber Administrator

# Upgraded Password Security (2 of 2)

---

- Users will be locked out after three unsuccessful login attempts
  - Users must contact their Subscriber Administrator to have their account unlocked
- Password security
  - Single characters cannot be repeated more than twice in password
    - !Hipaaa1
    - @Bbassics7
    - #training3
    - HIPAA#1

# Passwords Summary

---

- You should now be able to:
  - Identify the password requirements for HIPAA BASICS™

# Presentation Summary

---

- You should now be able to:
  - Identify the use of HIPAA BASICS™ in achieving HIPAA Compliance (Privacy/Security)
  - Describe the user roles and responsibilities within HIPAA BASICS™
  - Perform the functions of the Subscriber Administrator in HIPAA BASICS™
  - Perform the functions of the Lead User in HIPAA BASICS™
  - Describe the password requirements in HIPAA BASICS™

# Resources

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- DoD 6025.18-R, “DoD Health Information Privacy Regulation”, January 2003
- [www.tricare.osd.mil/tmaprivacy/HIPAA.cfm](http://www.tricare.osd.mil/tmaprivacy/HIPAA.cfm)
- [privacymail@tma.osd.mil](mailto:privacymail@tma.osd.mil) for subject matter questions
- [hipaasupport@tma.osd.mil](mailto:hipaasupport@tma.osd.mil) for tool related questions
- HIPAA Service Privacy/Security representatives



HEALTH AFFAIRS



# Please fill out your critique

## *Thanks!*

